

24,25, 26 April, 2013, Azores, Portugal



## CONFERENCE PROCEEDINGS

### Vol.2

**1<sup>st</sup> Annual International Interdisciplinary Conference, *AIIC 2013***

*24-26 April 2013, Azores Islands, Portugal*

(Conference place: **University of the Azores, Ponta Delgada**)

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*June, 2013*

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## **COLLABORATION, KNOWLEDGE & THE TRANS-DISCIPLINARY MANAGER: *Helping interdisciplinary research projects to flourish***

*Jacques de Vos Malan, Dr.*

Australian Council of Learned Academies (ACOLA)

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### **Abstract:**

Research has been conducted into the special nature of interdisciplinary academic work *per se* and towards resolving the particular difficulties faced by interdisciplinary researchers. Some of the findings of two recent Australian studies into ways to strengthen interdisciplinary research are reported here.

In 2012, the Chief Scientist of Australia commissioned ACOLA to undertake a three-year, \$10 million program of research under the title *Securing Australia's Future*. The program involves Fellows of the four Australian Learned Academies and embraces issues as diverse as underground engineering for the exploitation of shale gas deposits; how to maximize the translation of innovation and research into productivity; and a critique of the country's engagement with the Asia-Pacific region.

The requirement to deliver at Cabinet level interdisciplinary evidence-based policy options for government, suggests that public policy experience in dealing with "wicked problems" has insights to offer those engaged in interdisciplinary academic research.

An emerging group of trans-disciplinary project managers may help interdisciplinary research projects to flourish.

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**Key Words:** ACOLA, Australia, interdisciplinary research, research management, trans-disciplinary management, wicked problems

### **Introduction:**

There are 39 universities in Australia<sup>1</sup>, providing a home for more than one million enrolled students and 100,000 full-time equivalent staff<sup>2</sup>. Most of those universities "developed as a result of amalgamations of teacher's colleges and other post secondary training institutions such as Institutes of Technology during the 1980s."<sup>3</sup> In the 2012-2013 *Times Higher Education World University Rankings*, just 6 Australian bodies fall inside the top 100 universities world wide.

Collectively, Australian universities undertake some \$5.4 billion worth of research and development each year. A much-quoted statistic is the fact that with only 0.3 per cent of the world's population, Australia produces 3 per cent of the world's research papers.<sup>4</sup> Still, Australian universities have a strong vocational mandate: "almost all students undertake study at undergraduate level in a professional discipline, class sizes are high and teaching workloads are heavy. For most academics, undertaking a personal research programme within this educational culture is extremely difficult."<sup>5</sup>

Unsurprisingly then, Australia remains a net importer of research. A recent study conducted by the Australian Council of Learned Academies (ACOLA) for the Federal Government<sup>6</sup> confirmed that many researchers are concerned about the uncertainty of research funding; the scarcity of fellowships and grants; and workload issues.

For years there has been an almost constant series of *Government initiatives* to increase

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1 [www.australianuniversities.com.au/rankings](http://www.australianuniversities.com.au/rankings)

2 [www.universitiesaustralia.edu.au/page/australia-s-universities/key-facts---data](http://www.universitiesaustralia.edu.au/page/australia-s-universities/key-facts---data)

3 Wellstead

4 Carr and elsewhere

5 Wellstead

6 ACOLA *Career Support for Researchers*

research outputs from Australian universities. Most recently we had the *Excellence in Research for Australia* project, which set out to assess research quality within Australia's higher education institutions using a combination of indicators and expert-review (by committees comprising experienced, internationally recognised experts). Overlapping with that has been the ongoing *Research Workforce Strategy* project, which aims to ensure that the country has the quantity and quality of researchers needed to 2020 and beyond.

These initiatives to stimulate research take place against a background in which Government is already heavily invested in research. For the last 10 years, Australia has not only been determined to win a disproportionate number of Olympic medals. We have also boasted a set of “national research priorities”. There are four of these:

- *An Environmentally Sustainable Australia*
- *Promoting and Maintaining Good Health*
- *Frontier Technologies for Building and Transforming Australian Industries*
- *Safeguarding Australia*

The priorities are today defined by twenty-one priority goals. These goals<sup>7</sup> are focused on outcomes and they cover research in a range of disciplines, ensuring that not only natural and applied sciences but also social sciences and humanities research is targeted. I mention them here because they provide an official foundation or charter, on which to build a culture of interdisciplinary research.

The past ten years are arguably exactly the period in which we have begun to fully understand the importance of an unrestricted, cross-fertilised approach to problem solving. While the integrity of the traditional academic disciplines may still be defended in the case of research that is curiosity-driven, seeking purely to expand our realm of knowledge, it is in research directed towards problem-solving that the restrictions of the disciplines become most apparent. So the twenty-one priority goals help to ensure that pure science is considered within the context of applied technology; that both of those are understood in respect of their economic, ethical and social implications; and that we never lose sight of the understanding, engagement and responses of the broader community.

The single most important publicly-funded non-academic research organization in Australia is the Commonwealth Scientific and Industrial Research Organisation. CSIRO is the national science agency and one of the largest and most diverse research agencies in the world. For the purposes of this paper, the most interesting aspect of CSIRO is the establishment in 2002 of its National Research Flagships initiative. The Research Flagships were conceived as “large scale multi-disciplinary research partnerships harnessing world class expertise from within CSIRO and partner organisations to tackle a range of national challenges and opportunities. A focus on outcomes, with each Flagship having a detailed strategy for delivering research solutions that target clearly defined goals, was a further distinguishing characteristic of Flagships compared with other research initiatives.”<sup>8</sup>

There are ten Flagships today, covering many of the same broad areas of interdisciplinary effort suggested by the National Research Priorities: biosecurity, climate adaptation, energy, food security, manufacturing, minerals, the oceans, preventative health, sustainable agriculture and water.

Another publicly funded initiative is that of the *Co-operative Research Centres* (or CRCs). A CRC is an organisation formed through collaborative partnerships between publicly funded researchers and end users. There are currently 37 active CRCs in Australia and each of them includes at least one private, public or community sector end-user, as well as one Australian higher education institution, or a research institute affiliated with a university. Because CRC funding is substantial and extends over many years, the competition is very stiff. Nowadays, CRC research is characterized by the fact that it is user driven and often embraces studies with specific commercial potential. As such, there are many examples of interdisciplinary research within CRC, the most famous of which is probably that of Graeme Clark, which led to the development of the cochlear implant – the so-called “bionic ear”. There are CRCs in agriculture, forestry and fishing; manufacturing and mining; and in

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<sup>7</sup> See Appendix 1

<sup>8</sup> [www.anao.gov.au/bpg-innovation/case-6.html](http://www.anao.gov.au/bpg-innovation/case-6.html)

the service industries. A report by the Allen Consulting Group<sup>9</sup> calculates that CRCs have already delivered an \$8.6 billion impact on the economy since the initiative began in 1991. The most recently established CRC is called Young & Well, which explores the role of technology in improving young people's mental health and wellbeing. The Young and Well CRC is made up of over 70 organisations from across the not-for-profit, academic, government and corporate sectors.

Finally, there are two principal public organizations through which most of the Federal Government's financial support for individual research projects is channeled: the *Australian Research Council* and the *National Health and Medical Research Council*. Both are statutory bodies that not only manage millions of dollars of research funds through various programmes, they also provide advice to the Federal government on research matters.

This then is the environment in which ACOLA, the *Council of Learned Academies*, seeks to encourage research and scholarship across the disciplines. As the forum for inter-Academy cooperation, ACOLA (and its forerunner the National Academies Forum) has been responsible for delivering a number of well-regarded reports in areas where an interdisciplinary approach was particularly called for. These have included, for example, studies in the areas of nanotechnology, attitudes to nuclear power, the impact of climate change on culture and other topics where an interdisciplinary approach is essential.

It seems fair to conclude from the above that developments in Australia have mirrored those across the world, in that it is possible to find the roots of interdisciplinarity stretching back at least forty years, but it is the last ten years that have seen formal recognition and a rapid acceleration of this kind of activity. Perhaps – as I intend to explore as the main thrust of this paper – it is the challenge of “wicked” problems such as climate change, drug trafficking, population growth, poverty and waste – and our contemporary imperative to struggle for solutions to these – that has helped to stimulate interdisciplinary research.

### **Research into interdisciplinary research in Australia**

For the last two years, ACOLA has been undertaking a study funded through the Australian Research Council into the question of interdisciplinary research in the area of sustainability. This multivalent program of research is designed to address two outstanding problems, one a key issue in research management, the other a national challenge. The former is the application of interdisciplinary research to the broad, problem-based research agendas of today and tomorrow. The latter issue – addressed as a test case for the methodological work conducted in the first part of the program - is how to use this understanding to find effective ways of approaching the array of challenges confronting Australia in growing our population, sustaining our way of life and our living standards, reducing our burden on the environment, promoting social harmony in a context of diversity, and advancing our nation's role as a leader in the global community.

The study has thus far produced two reports: *Strengthening Interdisciplinary Research: what it is, what it does, how it does it and how it is supported*, authored by Gabriele Bammer and an as yet unpublished report *Achieving a Sustainable Australia* completed by Michael Webber in the last few months.

These consecutive reports have identified some of the most important challenges confronting interdisciplinary research and its management and offered strategies for addressing those. As examples of current academic thinking about interdisciplinary research *per se* in Australia. I propose to briefly summarise some of the findings of those reports. Then I will move onto the major research program with which we are currently engaged and a discussion of the lessons we are learning from the practical application of this theory.

### **Bammer**

The Bammer report makes a number of recommendations including the establishment of a classification for the major kinds of interdisciplinary research; the standardization of reporting systems; the development of useful strategies as “toolkits” (these might be described as clusters of strategies, which provide a range of options for conducting different aspects of interdisciplinary

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<sup>9</sup> Allen Group *Impact of CRCs*

research); the development of a data collection system about the different kinds of research currently being undertaken, their quality, and the best way of educating the next generation in skills in interdisciplinary research.

Bammer identifies a role not only for researchers and research organisations, but also for government policy makers and the full range of research funders, including business and philanthropies.

### **Webber**

In the second phase, we planned to survey the interdisciplinary research landscape and conduct case studies across Australia within different research environments, including universities and private organisations. We were looking for the best and the worst, for examples where the interdisciplinary research approach has worked particularly well – and then examples where the going has been a lot more difficult.

Michael Webber set out to discover: what can we learn? What are the generic lessons? Is there a degree of commonality amongst the success stories? Webber is a social scientist and a geographer. His primary concerns in this report are the environmental bases of sustainable societies – the relationship between environmental variables on the one hand and the long-term wellbeing of societies on the other. But he points out that “societies can only continue to function if they meet certain conditions... such as class relations, forms of governance, intergovernmental relations, investment and education.”<sup>10</sup> Most of these conditions, essential to the sustainability of societies, are things we don’t currently understand. All of them are meaningfully approached only in an interdisciplinary fashion.

Webber borrows the term *trans-disciplinary research* to describe research “that involves decision makers, policy makers and researchers from more than a single discipline”.<sup>11</sup> One of the problems that Webber highlights is the need for those engaged in this trans-disciplinary research – at least in the area of sustainability – to play three roles: first as scientists, who provide knowledge; second as intermediaries, who must “interrelate epistemological, conceptual and practical elements that were not related before”<sup>12</sup>; and finally as facilitators, helping the process of communication between different disciplinary concerns as well as the end users. “The problems,” he writes, “are that natural and social scientists are not trained in these second or third roles, and that they take time away from the first role (which researchers think is their ‘real job’)”.

Neither Bammer nor Webber deals with the role of research managers of interdisciplinary projects. In the concluding section to this paper, I will propose that at least one or more of the roles forced on those engaged in such research could be (and sometimes already are) more usefully played by appropriately qualified research managers.

### **The research program *Securing Australia’s Future***

The Australian Government has identified the “opportunities and challenges of an economy in transition” as a key issue facing the nation. Maintaining the *status quo* is not seen as an option. It is therefore critical for substantial consideration to be given as to how different sectors of the Australian society and economy can be encouraged to be as adaptable as possible in times of national and global changes.

The challenges include: (i) changes, of varying degrees, to all aspects of what we might call the current Australian “niche”; and (ii) the global environment in which Australia will be required to compete.

To secure Australia’s future, it is crucial to understand how best to stimulate and support creativity, innovation and adaptability, across industries and in our communities; to have an education system that values the pursuit of knowledge across all domains, including the benefits of science, technology, engineering and mathematics; and to be more willing to support change, through effective

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<sup>10</sup> Webber M

<sup>11</sup> Webber M

<sup>12</sup> Webber M

risk management. All of these elements are important in considering how to drive Australia's productivity and economic growth.

The Government has therefore decided that interdisciplinary and collaborative research should be undertaken by Australia's four Learned Academies, to deliver an intersecting series of studies to inform policy development, through the Office of the Chief Scientist of Australia.

In 2012, the Prime Minister's Science, Engineering and Innovation Council (PMSEIC) identified six initial topics for research and development:

1. Australia's comparative advantage
2. STEM: Country comparisons
3. Asia literacy – language and beyond
4. The role of science, research and technology in lifting Australian productivity
5. New technologies and their role in our security, cultural, democratic, social and economic systems
6. Engineering energy: unconventional gas production

Each of these topics has discrete challenges to be explored, but they are obviously multifaceted, crossing a range of related matters and interconnecting with social, cultural, scientific, economic, technological and governance factors.

At appropriate stages within each project, ACOLA will publish formal research reports, in consultation with the Office of the Chief Scientist, and new topics will added to the initial six, as the work progresses.

The three-year program is governed by a Steering Committee, comprising three Fellows from each of the Learned Academies. The projects have different reporting deadlines, ranging from nine months to thirty-six months, but each project has an Expert Working Group, made up of a mixture of Academy Fellows and subject-area specialists. Many of the projects will also commission specialised work from external consultants. Managing this program for ACOLA has thrown up the most significant challenges imaginable for the Secretariat.

While colleagues across the research sector have seen their funding cut, we have all the problems of the *nouveau riche*! The budget we control is suddenly 50 times bigger than a year ago. We have had to increase our staff from 1 to 5 people, we have moved offices, bought computers and hired consultants, to help us rapidly develop the systems we need to manage the new program. In short, we have all the challenges associated with a successful start-up company.

And least we become too ostentatious with our new wealth, hanging over it all is a reminder of the *vita brevis*: the program will last just three-years and then presumably, it will end. So for that too we must plan.

For the purposes of this paper, the hidden value of the program lies in providing us with an opportunity to test some of the ideas put forward by Bammer and Webber and others; to see if we can help identify good practices in successfully managing large cross-cutting research projects; and even to ask if there is a distinctive approach to interdisciplinary research management that might be called for.

### **Good management practices**

Bammer's<sup>13</sup> recommendations might be summarized as:

1. Understanding the difficulty of the problems being tackled and the likelihood of developing clear cut solutions
2. Being clear about the number of perspectives that will need to be considered
3. Identifying the work as (existing) unit-based or project team-based (matrix)
4. Anticipating the ways in which disciplines will be coupled or transcended
5. Planning for the degree of engagement with end-users that will be required
6. Considering the power and standing of the various contributors; and finally
7. Examining the institutional arrangements in which the work will take place

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<sup>13</sup> Bammer G

Webber<sup>14</sup> builds on these concepts and offers the following practical suggestions:

1. Appoint a carefully chosen leadership group, formed before the project begins, that includes project managers, communicators, facilitators and statisticians – as well as scientists – rather than representatives of different disciplines
2. Consider the time, cost and technological means of communication – whether this is face-to-face meetings, teleconferences, video-conferencing or e-mail
3. Plan the project around tangible tasks, so that groups spend their time arguing about specific decisions and activities, not abstract concepts
4. Answer the question up-front as to whether the project is to be driven by supply (by the end-users) or demand (by the leadership group). Make contact early with the real stakeholders and keep them engaged
5. Understand the role (if any) of commercialization for the project
6. Establish and maintain documentation for the project
7. Recognise that team members have other responsibilities than to the project; take this into account when planning the timing of contributions
8. Create spaces for sharing – sharing ideas, sharing data
9. Allow for succession, including the training and mentoring of junior researchers

The 2005 National Academies publication *Facilitating Interdisciplinary Research*, describes the key conditions for successful interdisciplinary work. “They include sustained and intense communication, talented leadership, appropriate reward and incentive mechanisms (including career and financial rewards), adequate time, seed funding for initial exploration, and willingness to support risky research.”<sup>15</sup>

The National Academies’ study offers recommendations for team leaders:

Bring together potential research collaborators early in the process and work toward agreement on key issues by:

- Catalyzing the skillful design of research plans and the integration of knowledge and skills in multiple disciplines, rather than “stapling together” similar or overlapping proposals
- Establishing early agreements on research methods, goals and timelines, and regular meetings

Seek to ensure that each participant strikes an appropriate balance between leading and following and between contributing to and benefiting from the efforts of the team, by:

- Helping the team to decide who will take responsibility for each portion of the research plan
- Encouraging participants to develop appropriate ways to share credit, including authorship credit, for the achievements of the team
- Acquainting students with literature on integration and collaboration
- Providing adequate time for mutual learning

The more specific all these recommendations become, the more they seem to converge with the sort of approaches that one might expect from any competent project manager. A few of the points raised in the reports cited might be particularly applicable to interdisciplinary research projects, but many of them are not even unique to the research sector. And yet, as we worked towards developing structures and policies appropriate to the multi-faceted program for which ACOLA is now responsible, I began to hear a familiar ring. More and more, it seemed to me, the complexity of the issues we were to begin researching and the factors we would have to consider in approaching this resembled what I had been trained in the public policy sector to recognize as a “wicked problem”.

<sup>14</sup> Webber M

<sup>15</sup> National Academies *Facilitating Interdisciplinary Research*

Since there is a small, specialized literature about the management of wicked problems, I wondered if we might find useful ideas there about successful management in the interdisciplinary sector.

### Public policy and wicked problems

The phrase “wicked problem” was used by the Berkeley designers Horst Rittel and Melvin M. Webber in 1973 to describe problems which unlike (some) mathematics, chess or ciphers, do not have “tame” solutions. Rittel and Webber provided a ten-step list of the characteristics of wicked problems<sup>16</sup>. The similarity between some of the sort of complex problems that seem to call for an interdisciplinary or even a trans-disciplinary approach and what are described as wicked problems is not really surprising. A number of contemporary references can be found to the specific value of interdisciplinary research in approaching wicked problems.<sup>17</sup> What is not often described is the fact that the management of inter- or trans-disciplinary research often raises some of the same challenges as the management of ‘wicked’ problems.

### Shared characteristics

Here expressed in research terms is a brief list of the seven most obvious characteristics that wicked problems have in common with the sort of complex issues often dealt with in interdisciplinary research:

1. The research goal is *hard to clearly define*; there may be more than one version of the ‘truth’; there is a lack of reliable quantitative data; unbounded systems defeat the value of individual experiments
2. There may be *internally conflicting objectives* within the broader issue; multiple stakeholders seek varying outcomes; consequently there is a reluctance to synthesize knowledge
3. The problem or goal may be *a moving target*; the problem is relatively unique or unprecedented; or the problem is unstable, breaking down any definitive problem boundary
4. The research activity itself may lead to *unforeseen consequences* (the “observer effect”); earlier experiments or interventions may have changed or further complicated the nature of the problem; an orderly, linear approach is not possible
5. There may be *no clear outcome possible*; expectations of a single, definitive technological solution may be unrealistic; there may be no clear stopping point
6. *Social complexity* (the need for coordinated action by a range of highly variable stakeholders) rather than technical complexity may defeat current problem-solving and project management approaches
7. The challenge may require *changes in human behavior*, a new research methodology and/or a new commitment from individuals

### Conclusion: *The trans-disciplinary management approach*

So how do we approach managing – at this stage – six different research projects of varying duration, that include problem-solving in the realm of cultural studies, economics, education, engineering, technology and politics?

What we are working towards is building a team of interdisciplinary project managers who can firstly act as facilitators, “helping the process of communication between different disciplinary concerns as well as the end users”<sup>18</sup> – the third of Michael Webber’s characteristics of trans-disciplinary management; but also managers who have some capacity to act as intermediaries, as those “who must “interrelate epistemological, conceptual and practical elements that were not related before”<sup>19</sup>. This means recruiting people who share not only many years of project management

<sup>16</sup> Quoted at [http://en.wikipedia.org/wiki/Wicked\\_problem](http://en.wikipedia.org/wiki/Wicked_problem)

<sup>17</sup> Diesendorf & Rammelt; Wong *et al*

<sup>18</sup> Webber M

<sup>19</sup> Webber M

experience, but who also have some training in the natural or social sciences. This is the approach we have been following.

Accordingly, our staff include project managers from backgrounds in medical research, social research and the development sector, as well as the arts. They also have experience in running government funding programmes; in working with philanthropic donors; in managing public companies and in working with the community sector. The team members bring different perspectives to bear on every activity: from designing our website, to establishing expenditure controls. There's so much constant, daily interaction across a very wide-range of challenges that I doubt that anyone has time to consider a discipline-based viewpoint. When we occasionally run into a point of view or an argument from a stakeholder that is obviously an entrenched position based within a single discipline it comes almost as a shock.

As facilitators, we expect of our project managers that they should be able to:

- Communicate constantly, effectively and patiently with a wide range of stakeholders
- Command and control resources and infrastructure, whether they be finances; travel and accommodation arrangements; meetings, workshops and conferences; contracting consultant researchers; or driving review and approval processes
- Maintain a detached integrity, an almost priestly commitment to good governance, so that legal compliance and financial accountability are always beyond reproach

As intermediaries, we expect our project managers to:

- Understand the historical tensions that exist between various world-views or schools of academic thought and take up the best that each has to offer, always emphasizing commonalities rather than differences
- Speak judiciously on behalf of Academy Presidents, senior Government figures and respected researchers, accurately representing their point of view when necessary
- Never lose sight of the “public good” – meaning not just what we might imagine is best for the country, but also how the man or woman in the street hears and understands the complex issues with which we work

And of course we face a series of challenges. The following points summarise our experience to date:

### **1. We have created a working operational structure**

The Program Steering Committee provides overall governance of the program across the three-year life span. Each project is provided with an Expert Working Group. Both the Steering Committee and the Working Groups include representatives of all four learned Academies, as do the Peer Review Groups for each project. Representatives of the Federal Government departments identified as the end-users of any policy options are regularly invited to join the Working Groups.

There is a formal and comprehensive approval process for reports that involves independent peer review, approval by the Program Steering Committee and final approval by the Presidents of the four learned Academies.

### **2. We have a complex power structure:**

We aim to settle upon the collaborative power structure that is usually recommended for tackling wicked policy issues<sup>20</sup> and within some project areas that does exist.

In the larger sphere of the program as a whole, the power structure is more accurately described as ‘authoritative’. Competition exists over who will approve what and over which resources will be allocated to whom.

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20 APSC *Tackling Wicked Problems*

### 3. **We strive to maintain a holistic approach**

The Office of the Chief Scientist, who commissioned the research program on behalf of the Government, encouraged the Academies to avoid the temptation of taking a linear approach, by drawing the initial planning boundaries too narrowly. A lot of time, six months in fact, was put into scoping each of the projects in some detail. In those project areas where the research, findings and recommendations become truly innovative, we will succeed in finding the unforeseen consequences for the whole. In other cases, we may find only what we looked for.

### 4. **We work towards maximising the value of a broad collaboration**

We have assembled a cast of scientist and consultants who are highly respected in their fields. Some scientists have more experience of working in the public policy arena than others. The usefulness of the final reports that we generate is likely to depend on ensuring that the broadest perspectives prevail.

### 5. **Our Secretariat adds value**

We have established a Secretariat with responsibility for capturing and disseminating all the available information and data as it is gathered. The Secretariat is also responsible for managing, directly or indirectly, the projects themselves. In some instances we have sub-contracted aspects of the project management to seconded staff.

The Secretariat has developed appropriate systems for the management of information and to ensure legal compliance. The Secretariat can therefore take full responsibility for budget controls and financial transparency, however unpopular that makes us. Still, a really good secretariat should be far more than just a gatekeeper.

### 6. **We are rising to the challenge of thinking and working in new ways**

We began scoping this venture a year ago in a pioneering spirit of experimentation and adaptability. *Securing Australia's Future* is easily the biggest interdisciplinary research program ever embarked on by Australia's Learned Academies. There certainly have been interdisciplinary collaborative ventures larger than this undertaken in Australia before, but perhaps not in the specific field of academic research expected to deliver workable options in the public policy arena.

Now I'm not persuaded that we have yet built enough all-round commitment to finding what you might call the 'clusters of solution-probability' (to butcher the terminology of stochastic processes) that lie in the trans-disciplinary zone, well beyond the point where disciplines intersect, or what has been called "the unity of knowledge beyond disciplines."<sup>21</sup>

I will end with a quote from *The Glass Bead Game* by Herman Hesse<sup>22</sup> in which Joseph Knecht expresses what might be the cry of today's interdisciplinary research manager:

*"If only there were a dogma to believe in. Everything is contradictory, everything tangential; there are no certainties anywhere. Everything can be interpreted one way and then again interpreted in the opposite sense. The whole of history can be explained as development and progress and can also be seen as nothing but decadence and meaninglessness. Isn't there any truth? Is there no real and valid doctrine?"*

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<sup>21</sup> Nicolescu B

<sup>22</sup> Hesse H *The Glass Bead Game* 1943

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## “INTERDISCIPLINARITY AND THE CINEMA: A HISTORICAL- GEOGRAPHICAL-LITERARY-PHILOSOPHICAL-SOCIOLOGICAL- POETICAL VIEW OF THE FILM, *THE ENGLISH PATIENT*”

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### Abstract:

The importance of an interdisciplinary perspective is demonstrated by way of a reading of the film *The English Patient* [Dir. Anthony Minghella, 1996]. The film is born in literature as it is based on a novel by the brilliant Michael Ondaatje. It is historical [Herodotus to World War II]; while demanding knowledge of 'Middle-Eastern' geographies; involves a sociology of race and gender relations; while being cinematographically philosophical and deeply poetic. What my paper “does” with *The English Patient* is to stress that without an interdisciplinary perspective the film is devoid of deeper meanings on several levels. Specifically, I address some of these meanings with extensive reference to two vital interdisciplinary concepts key to the film: 'reversibility' and 'the other'. 'Reversibility' (the notion that all empires eventually fall or that all systems contain the means and mechanisms of their eventual undoing), and 'the other' (a concept of no mean import in a broad range of studies today) focuses on the positive outcome of the fact that we are all other to each other. I conclude that those who lament the disappearance of poetry in our time would do well to look for it, through interdisciplinary lenses, in contemporary cinema such as *The English Patient*.

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**Key Words:** Cinema, Interdisciplinarity, Reversibility, Poetics

### Introduction:

*The English Patient* is a film that respects its audience and the more interdisciplinary our background the better prepared we are to deserve its depth and beauty. It is a demanding film, not at all preachy, not at all predictable, it is subtle and it is refined. It calls upon some of the more precious precincts of our imagination: the geographical imagination in both the love of deserts and of bodies; the sociological imagination and its disinclination to love war; the philosophical imagination's desire for wisdom, and the poetic imagination's quest for beauty in both dialogue and in images. The result is a film that is exquisite to look at while we are immersed in the intelligence and complexity of its dialogue [often told by way of 'flashbacks']. In the end we have a film that renders a philosophical assessment of the world. Two of the pillars of its judgements rest on our understanding of 'reversibility' and 'the other'.

### Main Text:

We first meet reversibility (or reversion) in Herodotus' *The Histories* where, at several junctures, the 'father' of history draws our attention to magnificent examples of reversibility. All systems create, through their very functioning, events which lead to the reversal of the system (Baudrillard, 2005b:127). Herodotus points to the fall of great empires which fall under the power of what had previously been lesser entities: "For those that were great long ago, the majority of them have become small, and those that are in my time great were small before... human happiness never remains long in the same place (Herodotus, Book I, Section 5). Reversibility is by no means a determinist concept, for Herodotus or for me, it is more akin to a rule of the game of life: "...you must realize that there is a cycle of human experience: as it goes around it does not allow the same men always to succeed (Herodotus, Book I, Section 207).

Similarly, in our world today, it is the very strength and success of the digital networks which computing requires to thrive, in which the computer virus also proliferates. The antibiotics devised to keep us healthy also allow viruses to grow strong and resistant to drug treatments. Reversibility is then a strong antidote to determinism and linear theories of progress. In our time, reversibility may

well be what will replace dialectics. Ethics and morality are often deeply troubled at the appearance of the reversible because both depend, perhaps much more than they prefer to admit, on the idea of progress. If we accept reversibility as a hypothesis we come to understand that everything which is, is the result of prior reversals and will, in time, have to make way for future reversions. During the peak years of Modernity irreversibility (notions of endless progress as the rule) came to the fore. Today, in our interdisciplinary (postmodern, postcolonial and poststructural time), reversibility reasserts itself as the primary rule. *The English Patient* [both the novel and the film], is the outcome of a kind of reversibility against modernity's confidence in the narrative, and faith in those at the centre to sustain their position. But ours is a time when the old centre finds itself marginalized and the formerly marginalized occupy some of its former (now fluid) space.

Beyond the historical dimensions of reversibility there is a geographical component in this film. Minghella's film (based on Michael Ondaatje's novel) announces reversibility as one of its major theses by opening with a low flying shot over the desert. The desert is the scene of the world's ultimate reversibility – the return to dust. Human geographies of the body are also very much at work as the desert is a vast space of desire which denies us so much for what it offers in return. The desert we are shown in the opening shot is beautiful and poetic – the dunes stretch out across the wide screen like a series of entangled erotic human forms. The desert, always shifting, appears in this sequence like the smooth backs of women and their many lovers row on row on row. It is an immediate and compelling image of renunciation of traditional stories dealing with the events of war which open with lines of trenches, rows of crosses, or some prosaic moment during boot camp.

The principle borders in the desert are mental ones – this it shares with the sky. It is in the desert that we face our innermost self and thought processes and where we learn that in our ability to think and imagine lay the origin of both philosophy and the world. We pass through centuries and wars and artificial lines on maps as the shadow of the airplane piloted by Count Almásy passes over the desert. The sociological dimension appears here as Minghella's desert represents a rapturous critique of human culture and society – its traditions and its rules. We go there to make war but the desert is as indifferent to us as is the rest of the universe – it does not care how we live or die. For a time Almásy appears strong, his own indifference matching that of the desert but a strong woman (Katherine), becomes the vehicle of his reversion. The desert in this film allows Minghella to imagine the world in our absence – the absence of countries, war, and predictable heroes. It is an ideal setting to introduce a film in which those who are usually marginal characters occupy the centre of the story: A nurse from Canada, whose name Hana (Juliette Binoche), the child of immigrants; a Sikh (Kip Singh) who is a British soldier trained to defuse bombs and mines; an East European, Count Lazlo Almásy (Ralph Fiennes) who is anything but the wretched prisoner of war that East Europeans are typically cast as in films concerning this period and the war; a powerful woman, Katherine Clifton (Kristen Scott Thomas), a beautiful woman who plays perhaps the most masculine role of the major cast members. Recall the bathtub scene where she slides in behind Almásy, wrapping him in her legs and arms in a gesture of her complete power over him and the reversal of the traditional male female roles.

Ondaatje's characters, woven together as they are in Minghella's film, are an interdisciplinary way of imagining the very different story of the war years and its simple heroes than the ones Ondaatje heard during his youth in Sri Lanka. This is a romantic story but it is one in the most cruel sense [not the Hollywood sense], and it is a poetic and imaginative portrait of the intimacies of a series of events which would have been so different if written as their traditional others have, as a rule, been.

The literary dimension deepens when we consider that many who have written about this film have been diverted by the question of Minghella's fidelity (or lack thereof) to Ondaatje's novel. In our poststructural times, with the decentering of truth and textual authority, this can only be considered an embarrassing approach. We might as well ask questions concerning the novel's fidelity to the film. I am content that the film and the novel work to destabilize each other and that Ondaatje and Minghella provide a dual text with which usher new characters in from the cinema's traditional margins. In the film we are given two hours and forty-two minutes to think about one of the novel's primary lessons: that we are all other to each other and that otherness is extremely complex.

Indeed, otherness is this very idea which produced the climate in which Ondaatje and Minghella embrace liquidity, and eschew the classical Hollywood romance and the pathetic idea of realism upon which that shaky edifice has long stood. The philosophical dimension of the film deepens when we consider that it is Nietzsche's notion, that the real is merely illusion which has yet to be understood to be illusion, has worked its own reversibility against 19<sup>th</sup> century thought. Ondaatje and Minghella each bring this idea up to their own time as an understanding that the real remains hidden behind appearances (Baudrillard). There could be no better settings for this fundamental human problem to be apprehended than the desert and a war torn part of Europe (Tuscany).

*The English Patient* weaves an alternating pattern of events before, during, and after the war. The film operates with an understanding that time (and all we may ever expect of time is reversibility), wastes us. While we try to transcend the lines on a map we can neither conquer nor evade time. The fragility of the human in the face of time is made all the more visceral by the desert. This film is sensitive to the fact that we gauge time through the faces of others those bodies we have entered and swam up like rivers (Katherine's dying words). The other is also the scene of the enactment of reversibility in this story: a Bedouin healer, strong women, and a traditional subaltern in possession of superior character (Kip). We have long known that war makes men weak and women strong (as it does Catherine and Hana), but in this story Kip endures his test better than his male counterparts. This film does not mourn a dead otherness but celebrates its living forms in all their difficulty.

Otherness in this film is not about opposability as much as it is about the incompatible and it circulates in the fashion of complicity, intersecting at several points with the rawest of emotion. Otherness thrives among the incomparable and when it is denied it returns as hatred. This film reminds us at every return that most of its type have historically tried to exterminate the other *The English Patient* is a testimony to the indestructibility of the other (and the novel is an even stronger statement of this). Everywhere today otherness is taking its revenge and *The English Patient* played a key role, among large budget films with star casts, in ending the cinematic denial of otherness. Prior to this film such portrayals of otherness outside of marginal cinema seemed unimaginable. In traditional films about this time and place, and the war, those who here play the central roles the traditional others would have been cast as merely different a powerful kind of difference which destroys otherness (Baudrillard, 1993c:127). This story is about the hard, cruelties of otherness in all of its indestructibility. Ondaatje and Minghella each understand that the other cannot appear until those who have long occupied the centre disappear. Almásy stands in for the traditional occupants of the centre his return from amnesia is also the awakening of a man into a world where margin and centre no longer exist as specifiable boundaries. In the desert such concepts disappear silently into the sand or are strewn about by the wind as they did in war ravaged Tuscany where he makes his return to himself.

*The English Patient* reminds us that no matter how powerful the conquest, how vicious the extermination, the racism, and the intolerance – that the other survives everything and eventually forces a way in from the margins. It reminds us that reversibility is the only indestructible thing along with challenge. In the case of this kind of film the return of the repressed the other allows us not to go on repeating ourselves (and our traditional war films) forever (Baudrillard, 1993c:146, 174; 2005:204).

The radical other is the person who can exist perfectly well without their former masters as do Kip, Hana, and Katherine in this story. Their lives do not lack traditional cinema and its predictable roles for them as extras and as subaltern. These characters represent the right to claim otherness and as long as there is true otherness (not mere difference) then racism and sexism are denied. If these characters were merely different they would be incorporated into a discourse from which they could be ranked and excluded. They are so fresh and different in their complexity, and in their filmic time (the 1990s), because they command the discourse.

And so the subaltern does not appear in *The English Patient* – not as subaltern. This film was one moment in the history of cinema turning its gaze upon itself, having become fatigued, and seeking new stories. Like every system, the system of film is susceptible to reversion. And it is the reverse of what we might have traditionally expected and everything makes perfect sense and becomes a source

of poetic enjoyment. An English patient who isn't English who finds out as the film unfolds who he is. While he slept the world has changed he awakes to find himself dying with the other the boy, and a woman, have overtaken his story. The English patient who isn't English is the history of cinema (cinema as we thought we knew it) stretched out and dying. Katherine, the woman versed in Herodotus, was his angel of death. It is she who this story is about in so many ways as it is she that ushers in the era of the other.

The concept of history is historical and Ondaatje's novel takes the place of Herodotus's collection of stories the original kind of history in which the author uses characters to tell the story he wants to tell for diverse and particular effects. This is a beautiful form of something we have only recently embraced – the disappearance of history. Minghella takes full advantage of the fact that cinema now has a wider and more powerful reach on populations than do historians. Film has replaced history – the history that replaced Herodotus. Ninety percent of humanity, all those traditional others and subalterns, live without history and always have. History is a kind of luxury the West has afforded itself it is not the history of the other and this is not a film about that history. For Herodotus, Minghella and Ondaatje, history is a great toy (see Baudrillard, 1987:134; 1998:21). Minghella and Ondaatje may well be pointing to a time when only a Herodotus will hold the historical imagination of the public our time. Like Almásy we are less interested in history with known dates than in the kind he finds in the cave of the swimmers where conjecture and imagination are essential to telling a story.

We shall never find our way back to history prior to cinema, and *The English Patient* is evidence that this is not a bad thing. The other is not locked into predictable historical categories without desire. The world, like this film, if we take it as we find it, has no history beyond the fragments we assemble in particular ways for specific purposes.

*The English Patient* works so well in our interdisciplinary times because one of its main characters, Herodotus, has a sense of reciprocal action built into his understanding of the history of the world. It is this sense, played out in forms we can understand as reversibility, by the master story teller Ondaatje, and filmmaker Minghella, that rings so clearly to our contemporary ear. Since Herodotus's time, reversibility has always stood in for justice which humans rarely know through any other experience. One of the next great films to fall across the screen will be one which tells this story as well as *The English Patient* does its own. It will be a film which, like Herodotus, continues the struggle to understand the reversibility that is built into the world as is the alternation of day and night, and the cycle of the seasons. Minghella's achievement has been to show us that the filmmaker has as much of a claim to this role in society as does the historian. Cinema is a century old but in many ways it is just beginning to understand its possibilities.

### **Conclusion:**

Those who lament the disappearance of poetry in our time would do well to look for its reappearance as cinema (Kieslowski's *Blue*, Minghella's *The English Patient*). Poetry was once a place for the irruption of the body into the repressive interiorised space of language (Baudrillard, 1993a:234) and today, as visual languages become increasingly important, we find poetry (once oral, then written) moving increasingly into the visual.

We should also keep in mind, of course, that with the passage of time new reversals are the only thing we can expect with any assurance. Let us hope we can look forward to more films which bring to us the poetry of reversibility as it involves the other. This seems to be *The English Patient's* lasting gift despite the fact that people who have studied and written about the film for over a decade have entirely missed this point. It is far from a perfect film but it is a film rich in the poetry of reversibility and the Other. It not only takes an interdisciplinary approach to appreciate this film – it took one to make it.

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## THE INTERDISCIPLINARY STUDY OF VIABILITY

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### Abstract:

This paper analyses the concept of viability in scientific areas of conservation biology, medicine, management, mathematics and philosophy.

It is an interdisciplinary study in the perspective of convergence that seeks a better understanding of the concept by analyzing the concept in different areas.

The viability concepts considered were population viability analysis in conservation biology, fetal viability in medicine, business viability study in management, viability theory in mathematics and viability criterion in philosophy.

The analysis is performed providing a definition for each viability concept and associated methodology, followed by a comparison between the different definitions and methods to determine resemblances and differences between them.

Resemblances between the several viability concepts are a perception of the future based on a conception of the world.

Differences between the several viability concepts exist in the conceptions of the world and in the moment of time for which the viability is assessed. The conceptions of the world present differences on whether or not they are constituted by pre-defined elements of analysis, being the analysis elements quantitative or qualitative and if proposes new kinds of realities that depend on human action. The moment of time, for which the viability is assessed, can differ between the present and a moment of time in the future.

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**Key Words:** Viability, Interdisciplinary, Convergence

### Introduction:

This paper examines the viability concept in distinct scientific areas.

It is an interdisciplinary study in the perspective of convergence (Pombo, 2004, p. 94) that seeks a better understanding of the concept by analyzing the concept in different areas.

The analysis is performed providing a definition for each viability concept and associated methodology, followed by a comparison between the different definitions and methods to determine resemblances and differences between them.

The selection of viability concepts examples analyzed was made by an internet search in the library of knowledge online (UMIC, 2004) that provides access to the texts of scientific journals, and google scholar (Google, 2004) which indexes scholarly literature.

The examples of viability concepts analyzed are not an exhaustive list of existing concepts of viability. The diversity in scientific areas was privileged in the selection made.

### Viability concepts examples:

This section presents the examples of viability concepts analyzed. The scientific area of origin and the title of the viability concept are given for each example, followed by a definition of the concept and associated methodology.

### Conservation biology: Population Viability Analysis

Definition: The term population viability analysis refers to the use of quantitative methods to predict the likely future status of a population or collection of populations of conservation concern. It aims to answer two critical questions. First, what is the likelihood that a known population of a

species of conservation concern will persist for a given amount of time? Second, how many populations must be preserved to achieve a reasonable chance that at least one of them will avoid extinction for a specified period of time? (Morris, 1999, p. 1).

**Methodology:** The choice of methods in population viability analysis can be determined by the data sets available for analyze (Morris, 1999, p. 4). Data sets are classified according to the type of data, the number of locations, and the number of years in which data were collected. By type of data, it means whether the persons who collected the data recorded counts of individuals in one or more life stages, or demographic information about individual organisms that is, whether each individual survived from one census to the next (Morris, 1999, p. 5). Three methods exist to distinct general classes of data sets (Morris, 1999, p. 6).

The count-based extinction analysis method is suitable for data sets constituted by counts of individuals in a single population obtained from censuses performed over multiple years.

The projection matrix models method is suitable for data sets constituted by detailed demographic information on individuals collected over 3 or more years.

The Multi-site extinction analysis method is suitable for data sets constituted by counts from multiple populations, including a multi-year census from at least one of those populations.

### **Medicine: Fetal Viability**

**Definition:** The concept of viability implies a prediction as to whether a delivered fetus is capable of survival. A prematurely delivered fetus is viable when a minimal number of independently sustained, basic, integrative physiologic functions are present. The sum of these functions must support the inference that the fetus is able to increase in tissue mass (growth) and increase the number, complexity and coordination of basic physiologic functions (development) as a self-sustaining organism (Rayn, 2006, p. 55).

**Methodology:** The following functions, taken together, constitute the minimal number of basic integrative physiologic functions to support an inference of viability: (1) Perfusion of tissues with adequate oxygen and prevention of increasing accumulation of carbon dioxide and/or lactic and other organic acids. (2) Neurologic regulation of the components of the cardio-respiratory perfusion function, of the capacity to ingest nutrients, and of spontaneous and reflex muscle movements (Rayn, 2006, p. 56). This is a decision to be made by a physician (Rayn, 2006, p. 5).

The absence of the sum of these functions, can be assessed indirectly in a reasonable and reliable manner by measurement of weight and an estimation of gestational age (Rayn, 2006, p. 56). These values can be compared with minimum values acquired by survey of known and documented situations of survival (Rayn, 2006, p. 55).

Criteria for viability are based on current technology, which is subject to change. Accordingly, the criteria should be reviewed periodically (Rayn, 2006, p. 57).

### **Management: Business Viability Study**

**Definition:** A business feasibility study is essentially a process for determining the viability of a proposed business venture and determination if the proposed investment or business is feasible based on the results obtained from a well-prepared and researched study (Thompson, 2005, p. 227).

**Methodology:** Business viability analysis process is constituted by a series of questions that consider the viability of individual dimensions of the business itself and it is only from a cumulative contribution of these dimensions that the overall business can be determined to be viable (Thompson, 2005, p. 176).

Individual dimensions to analyze are: market viability, technical viability, business model viability, management model viability, economic and financial viability and exit strategy viability. To assess the viability of each of these individual dimensions is necessary analyzing a set of defined viability measures. For instance the individual dimension of market viability is constituted by the viability measures of market size, competitors, similar products, pricing, packaging, distribution to markets and advertising (Thompson, 2005, p. 178). Individual dimensions list are not rigid and can be modified to best fit the business situation being assessed (Thompson, 2005, p. 180).

It is suggested that when the overall viability in the proposed business venture is more than 80%, the decision made should recommend the business as being commercially viable. However, if

individual dimensions of viability of the model fall below their critical validation rating, then the overall model is not viable (Thompson, 2005, p. 177).

### **Mathematics: Viability Theory**

Definition: Viability theory designs and develops mathematical and algorithmic methods for investigating the adaptation to viability constraints of evolutions governed by complex systems under uncertainty that are found in many domains involving living beings, from biological evolution to economics, from environmental sciences to financial markets, from control theory and robotics to cognitive sciences. (Aubin, Bayen, Saint-Pierre, 2011, p. 1).

Methodology: Viability theory provides a set of mathematical tools such as viability kernels and capture basins. The theory can be applied to situations or problems that can be modeled by the mathematical tools. The methodology involves an early stage to consider whether you can represent the situation or problem with the mathematical tools provided by the theory. If it is considered that it is possible then proceeds to the modeling.

The mathematical tools available are sufficiently flexible to allow the modeling of a wide variety of situations. Examples of application of the viability theory are: rallying a target while avoiding obstacles (Aubin, Bayen, Saint-Pierre, 2011, p. 20), autonomous navigation in an urban network (Aubin, Bayen, Saint-Pierre, 2011, p. 23), safety envelopes for landing of plane (Aubin, Bayen, Saint-Pierre, 2011, p. 25) or management of renewable resources (Aubin, Bayen, Saint-Pierre, 2011, p. 26).

### **Philosophy: Viability Criterion**

Definition: Viability means the approval as viable by the peers of an accomplishment plan of something that has interest and doesn't exist yet (Coimbra, 2010, p. 1).

Examples of accomplishment plans are technical specifications of products, production processes definition or the social coordination mechanisms definition.

The relevance of viability criterion is the exclusive focus in the analysis of things that begin to exist only in human imagination and that only can be accomplished by human action. Viability puts in highlight the fact that research does not need to have like starting point facts and problems. Research can have as a starting point imagination and interests. Viability puts in highlight the fact that research does not need to have as a result the elaboration of explanations. Research can have as a result the elaboration of transformations plans. Finally, viability also puts in highlight the fact that is not always necessary to build prototypes to make an evaluation.

Methodology: The sharing of the accomplishment plan with peers and obtain the feedback of approval or rejection. The writing of the results of the scientific research is important for its disclosure and validation. The existence of different kinds of works and of different scientific areas leads to the existence of a multiplicity of possible structures for the written works. A common and possible structure is those of context, problem, why the problem is a problem, solution, and how the solution solves the problem. Is suggested the structure of proposal, relevance of the proposal, justification of the relevance, accomplishment plan and conclusion with the purpose of facilitating the writing of works based in viability (Coimbra, 2010, p. 4).

### **Comparison between viability concepts examples:**

Table 1 shows the comparison between viability concepts examples. Each column of the table corresponds to one example of viability concepts. Each row of the table corresponds to a characteristic by which the viability concepts are compared.

Each row of the table is described below.

Scientific area of origin: it specifies the scientific area where it was developed the viability concept.

Scientific area of application: it specifies the scientific areas where the viability concept can be applied. The scientific areas of application can be different of the scientific area of origin.

Moment in time, for which the viability is assessed: it specifies the moment of time, for which the viability is assessed. It can be the present or a moment of time in the future. The viability concepts have a conception of the world. The viability concepts with methods that allow the analysis of one point in the future have also a representation of how evolution occurs.

Analysis Type: it indicates whether the viability analysis uses quantitative or qualitative elements.

Dimensions of analysis pre-defined: it indicates whether the elements to be analyzed are pre-defined in the method. There are viability concepts such as business viability study, where the elements are pre-defined but it is indicated that the default is a proposal that can be adapted and changed (Thompson, 2005, p. 180).

Proposes new kinds of realities that depend on human action: it indicates if is evaluated the existence of new realities that can only be accomplished by human activity.

	<b>Population Viability Analysis</b>	<b>Fetal Viability</b>	<b>Business Viability Study</b>	<b>Viability Theory</b>	<b>Viability Criterion</b>
Scientific area of origin	Conservation biology	Medicine	Management	Mathematics	Philosophy
Scientific area of application	Conservation biology	Medicine	Management	Application in several areas	Application in several areas
Moment in time, for which the viability is assessed	Future	Present	Present	Present Future	Present
Analysis Type	Quantitative	Quantitative Qualitative	Quantitative Qualitative	Quantitative	Qualitative
Dimensions of analysis pre-defined	pre defined	pre defined	pre defined	Not pre defined	Not pre defined
Proposes new kinds of realities that depends on human action	Continuity	Continuity	New kinds of realities	Continuity	New kinds of realities

**Table 1 - Comparison between viability concepts examples**

### **Conclusion:**

The several viability concepts are a perception of the future based on a conception of the world.

Resemblances between the several viability concepts are that they are analysis process constituted by a series of questions that consider the viability of individual dimensions and it is only from a cumulative contribution of these dimensions that the overall viability can be determined. As technology is subject to change, viability should be reviewed periodically, when the use of technology is relevant.

Differences between the several viability concepts exist in the conceptions of the world and in the moment of time for which the viability is assessed. The conceptions of the world present differences on whether or not they are constituted by pre-defined elements of analysis, being the analysis elements quantitative or qualitative and if proposes new kinds of realities that depend on human action. The moment of time, for which the viability is assessed, can differ between the present and a moment of time in the future.

The concepts of viability theory and viability criterion are applicable to a variety of problems. The concepts of population viability analysis, fetal viability and business viability study are applicable to specific problems. As a future research, it can be examined whether the more general viability concepts can be implemented and with which results, to the problems analyzed by the more specific viability concepts. For instance the application of the viability theory to the problems analyzed by population viability analysis, or the application of the viability criterion to the problems analyzed by the business viability study.

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## **BORJA'S *ECCE HOMO*: NETWORK, DIALOGUED ART AND DEMOPOIESIS**

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### **Abstract:**

The phenomenon that occurred with the restoration of *Ecce Homo* in Borja (Zaragoza) has not gone unnoticed by the mass media in countries around the world, since it appeared in early August 2012 in a small notice of this restoration appeared in the blog of the Borjans' Studies Center. Thus, though the paper aims to deepen the triple determination that we believe has caused an isolated incident to become a worldwide media boom. We refer to the nature on the communicative global level, collaborative or dialogued nature and the interaction that have been generated by the creators and observers. From here we reflect on the social nature that this new pictorial creation has generated both from mass media and from various samples of creativity and different conceptions of art.

**Key Words:** *Ecce Homo*, media, creativity, dialogued art

### **Introduction:**

In August 2012, an untrained octogenarian woman's attempt of restoration in a mural painting in the Sanctuary of Mercy in the small locality of Borja, in Zaragoza (Spain), broke the news. The *Ecce Homo*'s painting (from Latin: "*Behold The Man*" or "*here is The Man*"), made by Elías García Martínez, was an oil painting in dry wall which the Borjans' Studies Center dates from the first decade of the XX century. The work lays with a mention of the author which says: "this is the result of two hours of devotion to the Virgin of Mercy". This painting, inspired by the Guido Reni's *Ecce Homo*, had not a high historic and artistic value. In the other hand, the 81 year-old amateur painter who started the restoration, Cecilia Giménez, had restored paintings more times with no repercussion, but this time the restoration was not finished completely and it laid in the first step which she calls "staining", leaving the painting in a condition that turned into a butt of jokes, especially since the comparison that a *BBC*'s journalist made between the work and a monkey<sup>23</sup>. From that moment there was an unprecedented impact in the media and social networks, even also economic impact. This fast diffusion and its unexpected impact dictate the need of make an approach which, without a great empiric support, makes it possible to value this phenomenon from different sociological aspects. This paper, being an essay, is trying to develop that first approach.

The phenomenon happened about the restoration of the *Ecce Homo* in Borja (Zaragoza) is not going unnoticed by the media all over the world since an unimportant post appeared in the Borjans' Studies Center blog telling about it<sup>24</sup>. From that moment, the media has speculated about the decision of restoring the work again, the law aspects of the amateur author about having copyright of her painting and many other headlines more related to an interlude than to social news about the new creation that was happening.

Anyway, the speed with which the news has crossed borders is not casual or exclusive because of the newness of the phenomenon itself, it doesn't even depend on the discussion between what is art and what is expert. Part of that speed in the crossing information is motivated by the use of networks and global communities like Internet (Castells 1996, p.48). This group of networks increases the margins of communication and gives the news a global magnitude. At an international level,

<sup>23</sup> <http://www.bbc.co.uk/news/world-europe-19349921>

<sup>24</sup> *Borjans' Studies Center* blog: <http://cesbor.blogspot.co.uk/>

newspapers followed the story after it had already shaken up the social networks and not before, which shows an example of how journalists are not the only ones who can create discussions and opinions of the facts they think are relevant, but also the social networks themselves force, in a certain way, the covering of some news. Thus, a question stands up: what makes an isolated fact to become news? And beyond, why a local event with no repercussion becomes a global media phenomenon?

In the other hand, this “pictorial tuning” act, made in a wall painting of barely 50 centimetres wide and high created by a XIX-XX century’s artist in two short hours (as the description in the painting said) has become a icon for counter-culture people and alternative artists, whose perceptions of art disagree those accepted by established order. We just need to observe the exhibition developed in Barcelona related to this new icon born in Borja. This exhibition, organized by a collaborative art project called *Wallpeople*<sup>25</sup>, showed re-interpretations of this *Ecce Homo*, as a tribute to its author, taking other versions made by pictorial artists as acclaimed as Warhol, Gustav Klimt or Leonardo Davinci as references. The fact of the woman taking the risk of retouching the painting meets the idea of “breaking free”, concept commented by Lehrer (2012, p.128), who indicates that “although this spontaneous method could seem terrible, it is also a very valuable source of creativity”. In fact, as pointed previously, this restoration has been used as an inspiration to other artists and collectives related to art.

The surrealist and extravagant characteristics of the painting are also an answer to the need of laughing, good mood and the parody of daily life and news happening. But beyond having defenders and detractors (because there is a part of the population showing interest about the work and the act itself, but there is another part rejecting and criticizing it) the important aspect of this fact is the relevance it has got worldwide. In fact, searching “*Ecce Homo Borja*” on Google, we get 184,000 results<sup>26</sup>, just two months after the news appeared. Some words used by Spanish media to define the magnitude of the phenomenon are “fever for *EcceHomo*”, “funny accident” and “worldwide attention”, among others.

Another aspect to pay attention in is that the phenomenon is also answering the need of having new icons, being a genuine subversive process because it subverts the established order related to art or to what can be considered as beautiful. From this idea we could ask ourselves: Why are some works appreciated and some others are not? Who is deciding what is considered “art”? In this respect and referring to art perception, Sanmartín (1993, p.115) quotes San Agustín when he thinks about the time and he points that “everybody knows what something is if nobody ask”. Actually, this object, the painting is perceived in a different way by the author, who considers it unfinished, and by an observers and instructors’ class, which think it is already done. But the creator-observer’s joint, having each of them different values (complementary and contradictory), gives rise to more types of art, in which collective existences and different kinds of subjectivities are discussed beyond art itself, affecting more aspects.

From our point of view, on the margins of other considerations, Borja’s occurrence is important from the three foresaid perspectives, on which we are going to reflect deeper. First, its media feature in the network society (Castells) or “flow” society (Bauman). Second, its open, collaborative and “dialogued” role, which Borja’s woman has played and justified so naturally. And third, the game of different looks and knowledge generated by creators and observers about this event and any other aspects of creation, giving us information about different types of society. Those are the facets involved in the *Borjan* intervention that we are going to explain.

### **From a local event to a global phenomenon. Evolution, impact and media repercussion.**

Firstly, it is worth to emphasize the importance of time, especially because of the moment that this event happens and the speed of its spreading. On August 7, 2012, *Borjans’ Studies Center* posts in its blog about “An indescribable fact”, denouncing that a minor author’s work (Elías García Martínez) had suffered what they called an “intervention”, asking for a research of the case and for any step of solution. But it is the 21st when the regional newspaper *Heraldo de Aragón* reports the

<sup>25</sup> *Wallpeople*’s web: <http://wallpeople.org/index.php/homenaje-a-ecce-homo/>

<sup>26</sup> Searching “*EcceHomo* Borja” on October 15<sup>th</sup>, 2012

first news about it: “Wall painting’s restoration in a church in Borja ends as a botched job”<sup>27</sup>. From that moment the event starts to spread everywhere.

▪ **Media and social network impact.**

Despite the news appeared for the first time in Spain in a regional newspaper like *Heraldo de Aragón*, next day the news related to the restoration made by an octogenarian woman in a small church of a small village spread all over the world. One of the main newspapers in the United Kingdom, *The Guardian*, reported the curious incident with an article entitled: “Spanish church mural ruined by well-intentioned restorer”<sup>28</sup>. Just one day after that, August 23, important newspaper like *Washington Post* or *New York Times* publish headlines like “Spanish woman botches ‘Ecce Homo’ painting in an attempt to restore it”<sup>29</sup> and “Despite Good intentions, a Fresco in Spain is Ruined”<sup>30</sup> respectively, pointing in the last one the creation of parodies of the painting on Twitter and several blogs. Besides, the same day of the spreading of the first news, the hashtag #*eccemono* (name used in Spain to parody because of the comparison of the *Ecce Homo* with a monkey. Monkey=Mono in Spanish) was trending topic on Twitter and it wasn’t hard to find on the web images of the painting with the face of different celebrities. At the same time, new Facebook groups were appearing making fun of the event and we could find t-shirts with the restoration, as *Heraldo de Aragón* itself reported<sup>31</sup>. Also, on YouTube we can see the popularity of the phenomenon with videos like “Ecce Homo Reloaded”<sup>32</sup>, with almost 900,000 views.

Besides, we can emphasize on the *Borjans’ Studies Center’s* blog, which has received more than 130,000 visits from August 2012 to January 2013, all those visits from more than 100 countries, distributed as follows<sup>33</sup>:

- Spain: 84,370
- United States: 8,376
- France: 5,122
- Japan: 4,507
- Mexico: 3,652
- United Kingdom: 2,941
- Argentina: 2,406
- Canada: 1,475
- Colombia: 1,425
- Germany: 1,370

Thus, we can see the worldwide repercussion of the phenomenon in very different countries. On the other hand, it is worth to mention that this event is also registered on Wikipedia, where we can find a post titled “*Ecce Homo* (Elías García Martínez)”<sup>34</sup>, where the characteristics of the original painting and the restoration are described, and also all the repercussion and impact it has been getting. We can also find this post with the name of the amateur but popular restorer: Cecilia Giménez.

<sup>27</sup>

[http://www.heraldo.es/noticias/cultura/2012/08/21/la\\_restauracion\\_una\\_pintura\\_mural\\_una\\_iglesia\\_borja\\_acaba\\_chapuza\\_200865\\_308.html](http://www.heraldo.es/noticias/cultura/2012/08/21/la_restauracion_una_pintura_mural_una_iglesia_borja_acaba_chapuza_200865_308.html)

<sup>28</sup>

<http://www.guardian.co.uk/artanddesign/2012/aug/22/spain-church-mural-ruin-restoration>

<sup>29</sup>

[http://www.washingtonpost.com/blogs/blogpost/post/spanish-woman-botches-ecce-homo-painting-in-an-attempt-to-restore-it/2012/08/23/263bd0e2-ed42-11e1-b09d-07d971dee30a\\_blog.html](http://www.washingtonpost.com/blogs/blogpost/post/spanish-woman-botches-ecce-homo-painting-in-an-attempt-to-restore-it/2012/08/23/263bd0e2-ed42-11e1-b09d-07d971dee30a_blog.html)

<sup>30</sup>

[http://www.nytimes.com/2012/08/24/world/europe/botched-restoration-of-ecce-homo-fresco-shocks-spain.html?\\_r=0](http://www.nytimes.com/2012/08/24/world/europe/botched-restoration-of-ecce-homo-fresco-shocks-spain.html?_r=0)

<sup>31</sup>

[http://www.heraldo.es/noticias/cultura/2012/08/21/las\\_redes\\_sociales\\_bautizan\\_como\\_ecce\\_mono\\_pintura\\_borja\\_200874\\_308.html](http://www.heraldo.es/noticias/cultura/2012/08/21/las_redes_sociales_bautizan_como_ecce_mono_pintura_borja_200874_308.html)

<sup>32</sup>

<http://www.youtube.com/watch?v=p35CDKEeFfE>

<sup>33</sup>

<http://www4.clustrmaps.com/es/counter/maps.php?url=http://cesbor.blogspot.com/>

<sup>34</sup>

[http://en.wikipedia.org/wiki/Ecce\\_Homo\\_\(El%C3%ADas\\_Garc%C3%ADa\\_Mart%C3%ADnez\)](http://en.wikipedia.org/wiki/Ecce_Homo_(El%C3%ADas_Garc%C3%ADa_Mart%C3%ADnez))

All this data means that in barely 48 hours the *Ecce Homo* phenomenon spread all over the world, as we can see in a parody on one of the most popular and watched TV programs in the United States, *Conan O'Brien Show*<sup>35</sup>, where an actor dress up like Jesus Christ stated that “finally someone had painted him a portrait rightly”, fact that we could understand as a “defence” of this new “re-edited” painting.

On the other hand, it is important to pay attention not just to the speed of the news spreading, but also of its evolution, which we can see next with different headlines:

Table 1. International press headlines.

SOURCE	DATE	HEADLINE
Le Huffington Post Québec	August 22, 2012	<i>In Spain, the fail restoration of Christ's painting makes scream</i>
The Telegraph	August 22, 2012	<i>Elderly woman destroys 19th-century fresco with DIY restoration</i>
Euronews	August 25, 2012	<i>Borja's Christ: from Ecce Homo to international mockery</i>
Qué	August 26, 2012	<i>Borja's Ecce Homo: Going on a pilgrimage even from abroad to know "restored" Ecce Homo</i>
La Vanguardia	September 05, 2012	<i>Expert from Prado's Museum thinks Ecce Homo's event "unmasks" problems about heritage restoration</i>
ABC	September 08, 2012	<i>Borja's Ecce Homo, a pop icon</i>
El Mundo	September 24, 2012	<i>Ecce Homo has 3,000 visitors per week</i>
ABC	December 19, 2012	<i>Ecce Homo's "restorer", hired as an art consultant</i>

Authors' elaboration based upon quoted sources.

#### ▪ **Other repercussions**

The considered phenomenon of *Ecce Homo* hasn't been spreading just in different kind of media, but it is also getting more creative consequences like in new technologies and all the possibilities this field is developing. Thus, thanks to the popularity of *Ecce Homo*, several Android applications<sup>36</sup> making fun of it appeared which with anybody can restore the famous painting. In addition, the Sanctuary of Mercy in Borja, where the work remains, has turned from being an unknown place to getting more than a thousand of visits per day since the news spread. Consequently, as a positive aspect to Aragón (region where Borja is located), tourism increases and also the selling of merchandising, as it is already happening in the area. Borja's residents are not just adapting to this new popularity, but they are also taking the advantage of it. We find an example in the special edition of wine bottles that *Bodegas Ruberte* launched with the name “*El Ecce Homo*”, inspired in the mentioned restoration<sup>37</sup>. On the other side, Borja's city hall registered the brand *Ecce Homo*<sup>38</sup>, because of the increasing selling of related products and parodies.

But this impact is not exclusive of the locality, not even Spain. Internationally we find curiosities showing the effect of the phenomenon: last Halloween *Ecce Homo*'s costume was one of the

<sup>35</sup> <http://teamcoco.com/video/real-jesus-defends-restoration>

<sup>36</sup> Aplicaciones Android bajo el nombre *Ecce Homo*: <https://play.google.com/store/search?q=ecce+homo>

<sup>37</sup> Web *Bodegas Ruberte*: <http://www.gruporuberte.com/comunicacion.asp>

<sup>38</sup> Marcas registradas con el nombre *Ecce Homo*: <http://sitadex.oepm.es/Localizador/LocNacSin>

more demanded<sup>39</sup>; the painting appears in one of the most popular international games: *Angry Birds*<sup>40</sup>; Cecilia, the restorer, had a leading role in a special tv program of new year's eve in Spain<sup>41</sup>; and the event is part of the 2012 summary made by *JibJab*<sup>42</sup>, as some examples.

▪ ***The society as news creator.***

There is no denying in these obvious characteristics, this is a summer story, but it does not justify "per se" its rapid international development. Other news that have occurred during the month of August with a high national impact didn't have the same at an international level. One example is the news reported in 2008 in which a lifeguard mixed, incorrectly, two chemical components in a pool causing a toxic cloud. In this case the impact came from the hand of the statements she made to the media which became a kind of cultural heritage: "*vamos, que la he liao parda*"<sup>43,44</sup> This time social media also reacted to the statements with countless versions spreading almost to the present time; as we can see in a program of RTVE in 2012 which created the awards "*La he liao parda*"<sup>45</sup>. Even four years later, the Spanish population still recognizes this expression. However we should point out similarities between the two stories:

- Both used visual media and diffusing videos, although *Ecce Homo* has a static visual element easily reproducible.
- The main characters in these two stories have an element of naïveté, in the sense that there was no malice in their actions, despite the irresponsibility committed by both.
- Initially the possibility of legal liability claims was considered but, based on the foresaid aspect of naivety, it caused feelings of "sorrow" and laughing in the population.

If we just take as reference these two news, we could think that these events are part of the Spanish idiosyncrasy, which leads us to laugh at all, our positivity, our attitude or maybe the August sun. However, there is a fundamental difference between them: the internationality of the second one.

Another reason why we can not only attribute the high massmedia impact to the fact of being summer news is that they tend to disappear from exhaustion. But in the case of the *Ecce Homo*, far from disappear, the news was been repeated both nationally and internationally during the following months. For example in September 21, 2012, *Yahoo News* published "Disfigured fresh attracts tourists Spain, becomes global sales phenomenon"<sup>46</sup>. The same week, national newspapers echoed the number of visits received: "Ecce homo attracts 3000 visitors a week"<sup>47</sup> (*El Mundo*, September 22), and even the *Daily Telegraph*<sup>48</sup> (September 20, 2012), one of the European newspapers that have made greater monitoring of the news, wrote about how Ryanair (low cost airline) had sales in flights to Zaragoza to visit the *Ecce Homo*.

So, taking into account that both the lifeguard's news and the *Ecce Homo*'s news had impact on social networks, why only one has had an international impact? What is the difference between them? It is necessary to contextualize it more deeply and to point as a factor that currently people is exhausted of negative news, not only Spanish people but worldwide, especially related to the economic crisis. Even more, we must think about the kind of society we are living in to understand this kind of facts. Castells (1996) calls "Informational Age" to the new society model that is replacing the industrial society. This new model is characterized by information and

<sup>39</sup> <http://www.ibtimes.com/jesus-fresco-painting-halloween-costume-hit-online-after-cecilia-gimenez-botched-ecce-homo-835451>

<sup>40</sup> <http://www.abc.es/20121030/medios-redes/abci-ecce-homo-angry-birds-201210302018.html>

<sup>41</sup> <http://abcnews.go.com/blogs/headlines/2012/12/notorious-ecce-homo-restorer-cecilia-gimenez-now-potential-art-star/>

<sup>42</sup> [http://www.antena3.com/noticias/mundo/resumen-ano-olvida-nuestro-ecce-homo\\_2012122900113.html](http://www.antena3.com/noticias/mundo/resumen-ano-olvida-nuestro-ecce-homo_2012122900113.html)

<sup>43</sup> <http://video.publico.es/videos/0/17702/5169/recent>

<sup>44</sup> Colloquialism to express that someone has created a serious problem

<sup>45</sup> El programa de radio *Asuntos Propios* <http://www.rtve.es/radio/20120130/premios-he-liao-parda-2012/493189.shtml>

<sup>46</sup> <http://news.yahoo.com/disfigured-spain-fresco-attracts-tourists-becomes-global-sales-171031385.html>

<sup>47</sup> <http://www.elmundo.es/elmundo/2012/09/24/cultura/1348510000.html>

<sup>48</sup> <http://www.theage.com.au/entertainment/art-and-design/pay-me-royalties-says-woman-who-botched-fresco-20120921-26aqh.html>

knowledge being the basis of production, social and cultural processes. Both information and knowledge are increasingly affordable for more people, creating new information and knowledge through dialogue (Flecha, Puigvert Gomez, 2001). In this model the economy has become global, since it belongs no longer to a country, but to the world itself. Transnational corporations are increasing, which has led to increased polarization between rich and poor countries and the trigger from an economy with full employment to fewer jobs which require more training. There is greater global mobility, both in poorer and richer countries and within countries themselves, which causes interactions with people from other cultures. This model considers that one third of the population is excluded. But now it is moving from a Darwinian conception of the society model -which only allows the access to the top class- to an inclusive model, the Informational Age for all -where education is considered a key factor, which have to give access to the informational age providing everyone the skills to understand and transform the complex world around us and them- (Gomez and Elboj, 2001).

Under this model of informational and dialogical age, where would art be? So far the art has been held by people that have decided what art is and what is not, and by other people who could afford art. But the dialogic tendency existing in the information society has meant the scientific knowledge to be no longer exclusively to experts. This process is called monopolization of expertise (Beck, Giddens and Lash, 1997) and it applies equally to art.

People who are supposedly non expert now have an important role in the creation, acquisition, development and expansion of knowledge. This is one of the facts happened to Borja's *Ecce Homo*. People have asked to themselves why Elias Garcia's *Ecce Homo* was art and why Cecilia Gimenez's one is not. This question has involved the mobilization of social networks that collected signatures calling for the retention of the second one. Such important was the media pressure that the experts team hired to evaluate the possibility of re-restore the painting is considering to save both, which the media also noticed. The following declarations of that experts team exemplify the difficult relationship between experts and non-experts: "if it was possible, we would recover it, regarding the commotion that the repainting of Cecilia has caused". They also added that the painting "is not worth it the commotion caused"<sup>49</sup>, meaning that they do not consider art the one made by Cecilia.

Art has been always understood as something global, whether certain works are more appreciated in specific cultural contexts. For example, we all accept that the Wonders of the world are, in some way, art, and we could discuss the order according to a personal preference, but we still don't question the art behind those wonders. The Sistine Chapel is art, Kandinsky is art, Gaudí is art, Picasso is art, El David is art ... but are they art because we think they are art? Or are we have been said that we have to believe they are art? Currently, we do not believe that this question can have an answer, and certainly that answer cannot be given because society will always influence in what it is considered beautiful. What we can see is that we are immersed in a present time when the general public doesn't agree with a few people deciding what art is and what it is not anymore. The concept of art is constructed and is claimed, as the expertise cessation is claimed including people through dialogue.

The *Ecce Homo* exemplifies this process of demonopolization of expertise, but if we look at our society these processes are taking place in all areas and disciplines. People do not want experts to tell them how to overcome the crisis without taking them into account, so they protest on social networks and on the streets. People do not want experts to impose aesthetic standards, which is being demonstrated in the growth of blogs dedicated to the "street style". And people do not want to be told what art should retain and they protest to preserve, for example, the *Ecce homo*.

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<sup>49</sup> "Las restauradoras del Ecce Homo intentan salvar las dos pinturas", *Aragón Digital*, 30 de Agosto de 2012. <http://www.aragondigital.es/noticia.asp?notid=98627&secid=12>

### **The dialogic and dialogued art and social criticism.**

With the subjects described in the previous epigraph, we consider that the demonopolization of expertise is not the only consequence of the dialogic turn in art. Certain forms of art themselves are becoming dialogic art, concept that Kester (2004) borrows from Mikhail Bakhtin (interested in a work of art as a conversation, 1990) and applies to the experiences in which art is the result of a process of what he calls "performative interaction", in which the artist is involved in the social reality giving voice to living subjects who were traditionally silenced or are part of an active community trying to modify. This example takes as experiences those with artists seeking to establish relationships where dialogue between groups that traditionally didn't have a good relationship had been encouraged, as police and youth immigrants in the project "The Roof is on Fire". In his latest book (Kester, 2011) he spreads the term of dialogic art to the communicative and politically involved art, which would be very close to the concept of activist art. For Kester, this dialogic or collaborative art requires action because it is a way of art creation itself and, as he said, is "a new aesthetic and theoretical paradigm of the work of art as a process--a locus of discursive exchange and negotiation" (Kester, 2011:12). In this regard it is worth to mention an author considered an artist by some people and a vandal by some others: Banksy<sup>50</sup>. His graffiti paintings and drawings have gained a worldwide reputation for representing social denunciation, motivated with no doubt by his anonymity and the fact that most of his works are in public places where they should not be. He even snuck disguised? in important museums in order to expose some of his paintings<sup>51</sup>. They add the concept of "rebellion", giving rise to agreeing and disagreeing opinions, being the last ones from people considered experts in art mainly. However, in the city that people believe is his hometown, Bristol, the cleaning employees of the city trains were given a graffiti art guide in order to learn how to identify his paintings so they can keep them, as it is described in a report published in *El Pais*<sup>52</sup> a few years ago.

As Kester (2004) described, the main characteristic of these artists is a series of provocative concepts about the relationship between art and the social and political world, as well as all the different types of knowledge from aesthetics or art that can be generated. We could understand that this kind of art carries a very specific message to be conveyed to the public with not profit at the beginning. It is also a kind of dialogic art, as described above, because the artist is inspired by certain events of social reality that he is living, giving voice somehow to different groups that a priori do not have it, transmitting a shared message that otherwise might not get this impact.

It is clear that the case of *Ecce Homo* we are analyzing in this article does not correspond exactly to that description, because the author did not pretend to convey a message nor give voice to any group. However, the fact that professional restorers and experts criticized the painting while people around the world defended his conservation shows how the expert knowledge is being demonopolized as we discussed earlier, trying to "discredit" those that make patterns that people do not always want to follow.

That is why we propose, rather than the concept of dialogical art, the idea of dialogued art. In the first case, the dialogue is born, being a process itself. In the second one, the concept of art is dialogically discussed from a creative manifestation. Both concepts give voice to subjects that are not traditionally consulted, the first one gives voice thanks to a vocation of social change and the second one the voice "is taken" not to change society but to discuss the concept of art as a result of the demonopolization of expertise. Looking at the history of modern art we can see that this controversy happened in its origins and even in its development.

- ***The invention of art.***

Since the birth of the art in the mid-eighteenth century it was told that art is related to creativity and it has a sublime due to her relationship with the highest qualities of the human spirit, while the craft is a lower-level activity because of her manual character. In the ancient world this distinction didn't exist. The Greek concept *techné* and the latin concept *ars*, which are usually

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<sup>50</sup> Web de Banksy: <http://www.banksy.co.uk/>

<sup>51</sup> <http://news.bbc.co.uk/1/hi/entertainment/4563751.stm>

<sup>52</sup> [http://elpais.com/diario/2008/03/02/cultura/1204412401\\_850215.html](http://elpais.com/diario/2008/03/02/cultura/1204412401_850215.html)

translated as "art", used to include many activities belonging to what we usually call "trades" (Shiner, 2004: 46).

The changes resulting of what currently is called "art" begin in the Renaissance, when princes and nobles became protector of all kinds of artists. In addition, art changed their religious meanings because it was related to a refined world enjoyment. However, during this time, creators had a collective and craft character. Actually, artists were the heads of workshops where the work was produced collectively and the "artist" stamped his signature. This situation began to change during the eighteenth century, when modern art was "invented" with the primacy of aesthetics over liking, market linkage, the consideration of the artist as a "creator", the distancing from handicrafts, etc. (Shiner, 2004). All these changes and some others such as the emergence of copyright and fine arts academies, the exhibition centers creation, etc., were becoming the art as we know it nowadays.

Furthermore, since French Revolution, in which art was elevated to higher levels, there has been also opposed trends attempting to integrate art to life, undoing the distinction between art and craft. Anti-art movements like Dada or Russian Constructivism, individual authors like Marcel Duchamp and John Cage, and other movements like Bauhaus ("the artist is an exalted craftsman", Gropius wrote in Manifesto, 1919) are good examples of this trend. However, concurrently there was another trend considering that art could be different kinds of activities depending on the period: original core activities (poetry, music, painting, sculpture and architecture), photography, cinema or jazz during the late nineteenth century; the "primitive art" in the early twentieth century; even pop music or journalism in the 60s and almost everything from 70s on (Shiner, 2004: 313 et seq.). In the case of fashion, during the second half of the nineteenth century, the American Charles Frederick Worth considered himself an artist and since then countless designers have been related to several art movements. Thus, there is an "artistification" of the new areas and an "unartistification" of the classic areas. The result of these two movements is art being spread even more through the whole existence and today's societies, called "informational" and "cultural", may be "art societies".

So, what is art? It is not a singular space of collective activity. We think it's a force, with varying intensity, cutting across every social sphere. Moreover, we agree with Deleuze and Guattari (1993: 164 ff.) when they explain that the artistic force of the social works with "percepts" and "affects" separates from the flow of perceptions and conditions of common life getting strength and self-uniqueness. However, this autonomy appearance should not make us forget, like apologists of art tried before, the importance of flows and the **immanences** to which art belongs. In sociological terms this fact implies recognizing art as inseparable from collective life in general and everyday life in particular. Borja's case requires taking this into consideration. On the other hand, this also means that everyday life and social world have an artistic nature.

- ***Dissolution of art***

Daily life invades the sphere of art. Borja's intervention is the expression which symbolizes the mixture between art and daily life, which demonstrates two facts. Firstly, aesthetic categories are relevant in the analysis of social reality. Bateson (1991), in his most famous work, he humbly recognized that social specialists have to suppress the desire of controlling the world we misunderstand. He adds that studies have to inspire the curiosity about our own world. The reward is not the power, is the beauty.

Secondly, the dissolution of art requires it to be at the service of power instituting. This power welcomes the lush daily life. The problem is that art, considered as appeared in Modernity, only offers resources in the opposite way. Therefore, it is necessary a non-instituted art which betrays the instituting potential in a lower level. Chinese culture have always had a more sensitive of "not being". This culture has engendered subjectivities and techniques to deal with the instituting. It has been cultivating the "not doing". The silence in music, the emptiness in painting or the line in calligraphy, are techniques that have facilitated to have unfinished works, keeping the meaning and the sensitivity (Jullian, 1991). Something similar happens with Rodin's sculptures or with Chillida and Oteiza's respectful way to create empty spaces. In fact, Oteiza anticipated that self-dissolution, which spontaneously tends art, would make daily life what it really is: artistic. Miles

David may works in this direction with his idea of silence. Another example John Cage's work (2003): *Experimental Music*, where the musicians remain three minutes and forty-four seconds (3'44'') in silence in front of their blank sheet music.

### **Beyond art and sociology.**

In our opinion, Borja's case disputes two aspects: the institutionalized idea of art during the Modernity and the collective character in the work creation. In this respect, Sociology of Art shows the social character of the creation and the Sociology of Science reveals the social constructor of the scientific truths. The problem of this social influence is that it isn't always visible for all. Sometimes the one who doesn't see it is the creator (he thinks he is a genius) and the one who sees everything is the analyst (he returns him to Earth). Other times it is just the creator who see it (is the case of Borja's restorer), while the analyst is absent minded (academics and experts who valued Borja's episode). The first case is an artistic and institutionalized activity. The second case is art with instituting character. It is curious how the Sociology of Art (Bourdieu, 2002., Becker, 1982) has managed to show that individuality, self-sufficiency and artistic creation genius are nothing, because there is always a social background driving it. If this sociology is right, as Latour (1994) said, we have never been modern with our artistic way to create beauty. The pre-modern way of making a collective character art continues operating even nowadays. The Borja's case could only be possible understood from this point of view. The restorer woman is not embarrassed of working creatively in an unfinished painting which is open to collective character creation. For a modern one, this is an aberration. In the world before Art kingdom (about 200 years ago) this intervention wouldn't have caused any problem or quarreling. From a sociologic point of view, the situation occurred in Borja is the explicit expression of the work from the social, through different kinds of networks giving form and content to the works. These networks give rise to some Social Studies of Science called "network object" (Latour, 1992). These "objects" are the result of the activity of multiple sets of relationships. The networks will influence in every concept, idea, device, laboratory, and in the own scientist. If Science secures that the reality is always outside of these networks, the Social Studies of Science treat to prove that scientific truths are the expression of the network activity and they have nothing in common with reality. The only knowledge scientific truth is the network activity and it is not any outside reality. Thus, what we normally called "reality" just means an absence of it, emptiness.

Something similar could be happening in the Art World. The "beauty" of artistic creations could be a result of some network activities. Therefore, just the creations being worth to get the adjective of beautiful have proved to be able to erase the networks influence. Here is where sociology and social studies interfere. Their mission is disassembling the independence and autonomy of the society that scientific truths and artistic beauties are trying to get.

However, in our opinion this "unmasking" reveals just one part of the reality. In general, these suspicion analyses are useful for stable situations in which the participant actors (scientists or artists) seem to mesmerize the magnetism or the aura of the institution (Science or Art). The stable situations are those in which there are truths and canonical beauties. In these contexts, the suspicion for the analyst is quite easy to practice. Instead, producers of truths and beauties do not know what they are doing. Indeed, they believe that the value of truth and beauty is outside of network and it is independent of them.

In *meta-stable* situations or far from equilibrium situations, when institution has disappeared and a chaotic world of ideas, information or stimulus appears, just the opposite happens. The creator knows perfectly this environment and also knows that these movements allow him to get the beauty. On the other hand, the analyst finds the research of the networks connectivity and their influence more difficult. Therefore, in *meta-stables* situations, the practical knowledge of the creator dominates abstract and scientific knowledge, unlike what happens in *stable* situations, where this knowledge is the dominant.

Possibly, art is useful for a stable institution of the classic analysis of suspicion proposed by Bourdieu (2002). However, other arts like fashion, being mutable and evanescent, result more unstable, supporting the institutionalization worse, and requiring analysis based on network notion including the uncertainly analyst (Bergua *et al.* 2007).

In our opinion the Borja's case is located in this *meta-stable* situation and far from equilibrium. In fact, the "author" made her creation naturally, and she incorporated those aspects she understood *Ecce Homo* demanded. But from the makers and experts point of view what happened is an aberration, because they think that just one institutionalized art exists. Qualifying it in this way, with such contempt and categorically, they show they misunderstood what it really happened. Their problem not knowing that they do not know. Actually, the same thing happens to thinkers and scientists when they see other politic ways (as The Indignant) or other ways to understand the Economy (time banks, local coins, exchange...).

Borja's lady may be smiling seeing her incompetence. The same smile of The Indignants seeing the disorientation of politicians, scientists and opinion makers. Hopefully, they will continue mistaking along the time. This will show us where the road of demopoesis is.

### Conclusion:

This phenomenon has the threefold determination we have analyzed in the beginning. It has a global media character, a dialogic or collaborative character, and a set of knowledge generated by creators and observers. The main characteristic of this communicative character is the speed of the information transfer because it has turned an isolated event to a media international boom. The impact has been observed in different events as humoristic TV programs, news, articles of critical journalism, social networks, blogs, etc. Other repercussions are the creative results like redesigns of paintings in Android mobile applications, tourism, branding and many different events which have been generated in Aragón. In order to answer the question about why this *Ecce Homo* have had such an international impact, we consider the Spanish idiosyncrasy and the exhaustion of the models in global population.

Related to the idea about dialogic and communicative art, the first step is differentiating *Ecce Homo* from others voluntary ways of making art referring to a purpose, like social complaint in graffiti. Although the obtained results, *Ecce Homo* was not seeking to give a critic argument or an answer, nor to produce an artistic, social or cultural change. For this reason we propose the concept of dialogued art instead of dialogic art. As we have noted, the first art comes out of dialogue, it is a process itself. However, the second art appears from a creative manifestation discussing the concept of art. Both concepts have in common that they give voice to subjects traditionally excluded. But there are differences: the first art has a social change vocation and the second art argue with its own concept as a consequence of expertise demonopolization. This aspect is related to the concept of cultural democracy and to the culture democratization.

Ending our conclusions, we believe that art is something global and its conception has been modified over centuries. Nowadays, we are in a "desartistifacation" of the classical fields, so we are approaching the encounter with Nothingness. Similarly, we add that art is a power cutting every sphere of daily life across. Thus, it is necessary an art working for the instituting. We have observed that there is not a specific response about what art is, but traditionally the expert knowledge has instructed people, giving it vision and scoring a number of aesthetic standards. In the Borja's case, defenders of this painting are providing a message which is deeper than the maintenance of the picture itself. This message extends the idea of art and shows the resignation of the expert knowledge imposition as an artistic beauty ideal. All these facts put us in a meta-stable context, where we find "the possible" and instituting, which we call *demopoesis*.

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## **GEOGRAPHICAL ASSESSMENTS ON THE RELATIONSHIPS BETWEEN AGRAIAN ECONOMY AND POPULATION AFTER 1990S (CASE STUDY IN ALBANIA)**

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### **Abstract:**

Western Lowland, being under the influence of a growing humanization, has been evolved all along the agricultural ecosystem. Physical environmental factors have played an important role in the structure, composition and dynamics in general and in agricultural environment in particular. This ecosystem dynamics is associated with the evolution of agricultural space, agrarian relations and property statements. In terms of small land property it is characterized a private output with few investments and a competitive market. As one of the main economic sectors, the agricultural production provides a good part of its income in Lushnja district, as part of the Western Lowland. Due to the geographical position, its favorable climatic factors, soil quality, etc., in the district of Lushnja, grains, vegetables, fodder are cultivated mainly in the plains and the various cultures in greenhouses. While in hilly areas olives, vineyards and tobacco are being cultivated. It is distinguished for an agriculture potential, who has conditioned the living community in this district. Population by her presence has constantly exerted pressure on the working land space. This pressure is expressed through the calculation of the physiological density. Free movement of population after 1990s, established a good part of the population in the Western Lowland and Lushnja district (mainly coming from mountainous areas and eastern parts of Albania). The article aims at presenting a geographical assessment of case study area, certain aspects of the agricultural economy and relations with demographic developments in recent years

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**Key Words:** GIS, population, agriculture economy, physiological density, flat landform

### **Introduction:**

*Geographical area under the study and the applied methodology.*

The area taken under study (Lushnja district), geographically is located in Myzeqe e Madhe Field, (part of the Western Lowland), with access to the Adriatic Sea. It is located in the west-central coast of Albania, and it is bordered to the north by the district of Kavaja (Shkumbin River), to the northeast by Peqin district, on the east by the district of Elbasan, by Berat and Kucova district (at a length of borderline 25.0 km from which land 1.2 km, 20.5 km river, Seman river, 3.2 km lake, reservoir of Thana) and in the southeast and south by the district of Fier (land border and the river, the river Seman). Lushnja district on the west is located by the Adriatic Sea. It is part of the prefecture of Fier. Located between the geographical coordinates:  $\varphi$  N 41°03'01" (village of Çërme e Siperme),  $\varphi$  N 40°16'01" (village of Imsht);  $\lambda$  E 19°30'01" (Karavasta e Re);  $\lambda$  E 19°51'01" (village of Murrizë-Kozare). District area is 712 km<sup>2</sup>;<sup>53</sup>. This position facilitates communication with marine port areas of Durres and Vlora and Tirana capital, within a short time.

*Methodology of work.* Methodology of work has been selected in accordance with the objectives of each stage of work. The *comparative method* is used to served explanatory study, in terms of time and quantity; *mathematical-statistical methods* of analysis served quantitative problems, qualitative assessments, in various aspects of population. For spatial analysis and treatment has served the implementation of *GIS technology*, which through an extensive database created in Arc Map program, has enabled the mapping of elements in the agricultural economy and population. Integrating GIS served cameral work to map creation.

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<sup>53</sup> Data gather from administrative map of Albania (1:200 000)

## 1. Assessments of physical and geographical features of the area in favor of the agricultural economy

Geographical coordinates and the geographical location of the study area determine the prevalence of a group of favorable factors regarding the population and agricultural economic activities development.

*Tectonics.* Most of Lushnja district land is consisted of the quaternary deposits. Construction and composition of Quaternary deposits in the downstream of river Seman and Shkumbin (rivers that limit in the north and south area), is of river-swamp and river-lagoon nature<sup>54</sup>. In the eastern part, the area of Lushnja district, is bounded by the so-called Dumre Diapir, consisting of anhydrites, limestone, dolomite, gypsum and clay. Hilly landscape on the west of the area is represented by the hilly coastal range where greater heights are 192 m above sea level in Gomares Gur hills of Divjaka, and Ardenica 211 m. *Hypsometry:* 568 km<sup>2</sup> of the whole area is up to 0-99 m above sea level and 144 km<sup>2</sup> located at 100-299 m above sea level. Most of the surface, is occupied by the areas of Myzeqe e Madhe. The average height above sea level is estimated 20 m in the eastern part and 3 m in the western part. This field has a small slope and its maximum height does not exceed 35 m<sup>55</sup>.

Lushnja is featured by Mediterranean subtropical sub area *climate*. Due to its geographical position and protection from cold winds east, it is warm throughout Myzeqe area. This geo-space has a climate with mild and short winters, with low rainfalls, maritime influence and long hot and dry summers.

*Local climatic factors* affecting more are:  
 1. *Proximity to the Adriatic Sea*, which softens the climate. Adriatic influence surpasses the area penetrated inland. The Sea preserves the earth's surface from intense colds turning cold air into a warm humid air. His influence is expressed throughout the year.  
 2. *Low relief plain with no high hills*, allows the course of the winds laden with moisture. Fluctuations in temperature values in field areas versus the hilly areas are up to 1.5°C-1.8°C.

*Climate Elements.* Lushnja territory weather values with no windy days are smaller about 7% compared to the national average of 50%. This refers to the movement of earth, air - water. In Lushnja territory is mostly noted the impact of marine winds and exactly marine breeze. The maximum speed of these winds reach to 5 - 6 m/sec (in Karavasta) and is also the country's maximum speed compared to the average wind speed in the country 2 - 4 m/sec<sup>56</sup>. For higher values of the average monthly air temperature mention the months of July and August (24°C - 25°C), while the coldest months are January and February (6°C - 9°C), which are related to the impact of factors and climatic elements. High air temperatures require that measures be taken to eliminate the negative consequences throughout life and economic activity.

With regard to agricultural activities: Temperature of vegetation starts on average in the first ten days of March and continues until the beginning of the first ten days of December. Climate is an important element of plant activity, those influenced by two main factors: *drought and cold, which refers to the length of the dry season and the duration of the winter*. These two elements are connected to the biological activity of plants in such a way that an increase in monthly temperature of 6°C, the plant needs water are doubled. These needs are conditioned by the evaporation of water from soil and plant transpiration. Monthly evaporation - transpiration is equal to 70 mm in the provinces, where the temperature fluctuates around 20°C, where it belongs and Lushnja district<sup>57</sup>. Big changes in temperature are harmful to agriculture and flora in general. Lower values and temperatures bigger than 30°C require special attention especially for the agricultural economy, which is one of the main economic activities of the district.

*Precipitation* is an important climatic element. The months with greater rainfall amounts are November-December, and less rainfall are June-July-August. Multi annual average value is 635.7 mm - 1002 mm and is considered small, positioned Lushnja as a country with low rainfall. If we correlate the average monthly air temperatures and average monthly precipitation amounts, we will conclude

<sup>54</sup> Grup autorësh, "Gjeologjia e Përgjithshme", Tiranë, 1982, pg. 139.

<sup>55</sup> Ziu, T., Journal "Myzeqeja", Vo.1 Dicember, 2004, pg. 4.

<sup>56</sup> Qiriazhi, Perikli, Gjeografia fizike e pergjithshme, pg 68,70

<sup>57</sup> Geço, P., "Klima dhe bimët", Tiranë, 1977.

that precipitation amounts are acceptable in the economy of the district for the winter season. The situation is most critical versus low amounts of rainfall during the summer season, where air temperatures are higher and greater drought. Agriculture during the summer helped with artificial irrigation.

As climate asset for this area estimated large thermal property, which makes it possible for many plant vegetative cycles is not interrupted throughout the year, which is a milestone in the agricultural activity. There is enough light and predominantly clear weather. It is estimated as a negative moment the small amount of precipitation mainly during the summer (mainly 2 - 2.5 months dryness). In this period it is used the artificial irrigation. In the study area is bounded by the downstream parts of the river Shkumbin and Seman (Adriatic Sea watershed streams), who are meandrous. They are water sources for irrigation, especially during the summer season. In their flow they have transported eroded material from the mainland to form very fertile land, especially in the fields of Divjaka. The transported material has served for the formation of beaches of Divjaka, Spille and Seman. Hydrography is consisted also from: Tërbufi and Myzeqe reservoirs; Lagoon of Karavasta; a part of the Adriatic Sea and Thana reservoir.

Larger quantities bring water from rivers in winter, autumn and spring, while smaller amounts are in summer. This fact and the lack of rainfall have necessitated artificial irrigation in agricultural economies. River water in downstream deposit more material by reducing biological productivity of the field in case of flooding and turn those in poor soils. *Types of soils.* Recognition of soils helps in recognizing the geographical landscape and agricultural intensification. Most of the land area are gray-brown (2-4% humus) that generally extend up to an altitude of 600 m above sea level. In their formation have influenced alluvial, marine, lake and sediment deposits. In this process has been also influenced Mediterranean climate with its drought up to 3 months and physical- chemical alteration processes. The soils under crop are used for the cultivation of grain, vegetables, forage and subtropical crops. Grey pastures sub clay soils are positioned in Krutjes commune. Alluvial soils are found near river Seman and Shkumbin and are partly cultivated. Alluvial soils are found near river Seman and Shkumbin and are partly cultivated. In these lands, because of repeated deposition alluviums, vegetation is sparse. *Salty lands* are located around the area of Karavasta. Slightly salty land are in Saver, New Çiflik, near Thana reservoir, and Sejmenzë. There is little halophyte vegetation in them. They are rich in NH<sub>4</sub>, Na. From the chemical point of view these soils are acidic soil. Paludal soils are characterized by high agricultural potential after their reclamation. Pastures clay paludal soils face Golem commune (Pluk village), commune Tërbufi<sup>58</sup>. In Tërbuf peat layer thickness reaches 1.2 m. Humus is about 5 - 8%. They are fertile soils and high yields of products. Higher risk of contamination of soils in the study area is from agricultural chemicals, which consist of *chemical fertilizers* used further rates, to increase agricultural products and *pesticides* used to protect these crops from diseases and pests.

Plant and animal world. Geographic location, climatic conditions, relief, water and land property, have contributed to the diversity of plants and animals. In hilly forest areas exist: forests of Gërmenj, of Divjaka, of Grabjani, of Remasi (300 ha)-etc., which in recent years have been damaged by burning and indiscriminate taking down. In Ardenicë, pine forest occupies an area of 24 ha, while in the southwest of Manastir lies an area of 16 ha of oak forest. Lushnja district forests occupy an area of 7408 ha. They provide habitats for birds and wild growth.

Vegetation. Vegetation of Lushnja district is part of the Mediterranean flora, in Mediterranean forest and scrub. Formation of Mediterranean shrubs generation is associated with human intervention, which with its activity has damaged former Mediterranean vegetation. There are cultivated vegetation prevails. Vegetation is characterized by long vegetative cycle. Vegetative cycle starts in June, ending in July, to start again in the fall.

In Lushnja district there are growing and medicinal plants: hollyhock, chamomile, rosemary, clover, poppy seed, nuts, lime, blackberries, onions, garlic, rosemary, parsley, mender, wild violet, willow, white ash, etc. Also there are grown and honey plants: wild clover, marjoram, etc.

<sup>58</sup> Bajraktari, F., Veshi, F., Leka, I., Garo, R. "Tokat e kripura, me kripezim magnezial, acide, mocalike, ranore dhe permiresimi I tyre, Tirane 1977.

Fauna. Fauna in Lushnje is typical of Mediterranean lowland areas and diverse. Mention here: marine, river and lake fauna; land: wild and treated fauna.

In conclusion we emphasize that: favorable geographical position, near coastal, connected on all types of road land; gentle landscape mostly flat; favorable geological and soils mainly for agriculture; warm climate where be given attention to maximum temperature, especially during the summer, favorable rainfall in winter; artificial irrigation in summer, light winds, vegetation already cultivated in most of the territory, which for some crops includes dual cycles during the year; diverse fauna; create wide opportunity for sustained activity of Lushnja district population. In geographical view interest lies in the adaptation of human activity with the environment and resources that it offers. This adjustment relates to two aspects: to protect against the negative impact of natural factors and rational use of offered natural resources, to achieve sustainable development.

## 2. Situation of agricultural land fond and farm families

Agricultural economy of Lushnja district is the basis of economic development and is occurred continuously under the influence of human processes. Its dynamics is associated with the evolution of agricultural space, agrarian relations and property information. In 2007, It was produced on a surface of the agricultural land of 51,109 ha or 71.7% of the entire area of the district or 41.9% of the agricultural land fund of Fier region or 7.3% of the agricultural land fund of the country. Compared to the districts of the county, for the year 2002, in this category it is the second after Fier district, the third in forests and pastures occupied surfaces, and the first in the remaining surfaces. (See. Tab. 1)

*Tab.1. Structure of agriculture land in 2002 (in ha, against prefecture)*

District	Working land	%	Forests	%	Pastures	%	The others	%
<b>Lushnje</b>	46367	44.1	4708	27.4	440	13	15161	35.9
<b>Fier</b>	48804	46.4	7642	44.4	897	26.6	15156	35.8
<b>Mallakastër</b>	9895	9.4	4825	28	2036	60.3	12000	28.4
<b>Prefecture</b>	105066	100	17175	100	3373	100	42317	100

Due to the geographical position, favorable climatic factors, soil quality, etc., in the district of Lushnja, cultivated grains, vegetables, fodder, mainly in the plains and the different cultures in greenhouses (In district it is planted in about 193 ha greenhouses, equal to 43% of surface in the country). In Lushnja district in hilly areas are cultivated olives, vineyards and tobacco. In tab. 2, It is presented the surface of agricultural land by slope (Tab. 2)

*Tab. 2. The surface of agricultural land by slope percentage*

The slope %	Agricultural land (ha)	From which			
		Working land (ha)	Trees (ha)	vineyards (ha)	olives (ha)
0-5%	36942 or 72.4%	36737 or 79.3%	141 or 12.4%	62 or 9.5%	2 or 0.07%
6-10%	2276	2038	58	59	121
11-15%	2735	2359	112	116	148
16-20%	3584	2836	159	175	414
21-25%	1970	974	293	123	580
26-30%	2086	1011	206	15	854
31-40%	1259	311	158	82	708
41-60%	204	52	9	20	123
<b>shuma</b>	<b>51056</b>	<b>46318</b>	<b>1136</b>	<b>652</b>	<b>2950</b>

Source: Council of Fier Prefecture, Section of Administration and Land Protection (30.12.2008)

In tab. 2, it is shown that about 72.4% of the land surface is under the slope of 5% of the landscape, of which 79.3% are working land, 12.4% of tree land, 9.5% of land with vineyards and 0.07% with olives. All this land, based on and agricultural land use critical threshold of 13-15° slope,

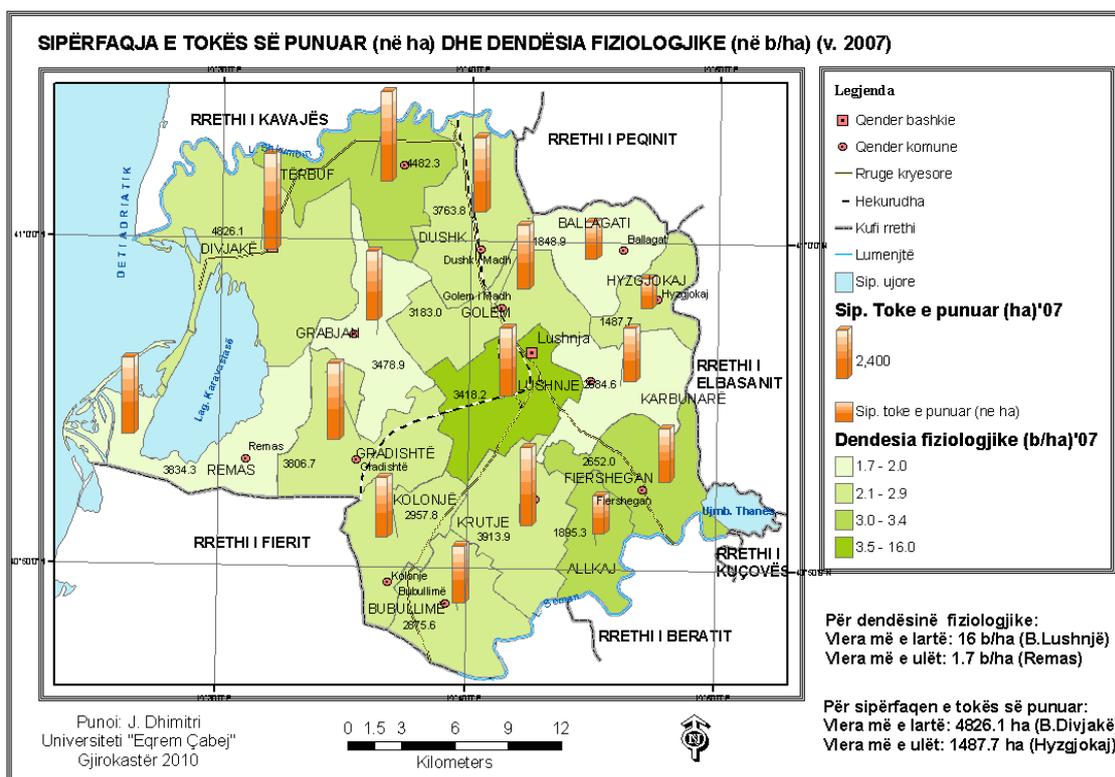
there is no risk of slope processes and soil erosion. For this reason, on greater sloping land surfaces than critical threshold, it is not recommended to replace natural ecosystems with those cultivated. In other categories of slope, but in some cases in the first category are required careful interventions (i.e: to cultivate by contour).

It is noted that all other categories occupy the largest surfaces in the territories that are in greater slope than 5%. However, these areas are more suited to cultivating the above, rather than crops. Farmers during their activity in the cultivation of other crops, vineyards, olive groves, should appreciate this fact.

*Tab. 3. Physiological density and farmer families (in 2007, map 1)*

<b>Municipalities, communes</b>	physical density (inh./ha)	Working land (ha)	Land for crops (ha)	Tree surface (ha)	Villages	Family 2007	Farmer family	Farmer family (%)
Allkaj	3.2	1895.3	1852.4	42.9	8	1375	1373	99.9
Ballagat	1.9	1848.9	1482.4	366.5	8	842	772	91.7
Bubullimë	2.4	2875.6	2840.6	35	7	1816	1809	99.6
<b>Divjakë(f+q)</b>	2.7	4826.1	4530.3	295.8	9+1	3548	3248	91.5
Dushk	2.9	3763.8	2494.2	1269.6	7	2492	2492	100.0
Fiershegan	3.4	2652	2242.4	409.6	12	2567	2566	100.0
Golem	2.5	3183	3048	135	6	1712	1709	99.8
Grabjan	1.8	3478.9	3426.4	52.5	4	1504	1407	93.6
Gradishtë	2.8	3806.7	3694.1	112.6	10	2539	2539	100.0
Hyzgjokaj	2.4	1487.7	1129	358.7	5	817	791	96.8
Karbunarë	2.0	2684.6	1983	701.6	10	1327	1320	99.5
Kolonjë	2.8	2957.8	2684.2	273.6	9	2138	2138	100.0
Krutje	2.6	3913.9	3868.7	45.2	11	2372	2354	99.2
<b>Lushnje</b>	16.0	3418.2	2864.6	553.6	1	15368	2851	18.6
Remas	1.7	3834.3	3730	104.3	8	1573	1570	99.8
Tërbuf	3.4	4482.3	4432.2	50.1	6	3423	2680	78.3
<b>Rrethi</b>	<b>3.5</b>	<b>51109.1</b>	<b>46302.5</b>	<b>4806.6</b>	<b>122</b>	<b>45413</b>	<b>31619</b>	<b>69.6</b>

Source: Data processed. Dr. Jostina Dhimitri (Regional Directorate of Agriculture, Food and Consumer Protection Fier. Department of Statistics)



Map 1: Working Land Surface (in ha) and physical density (in inhabitant per ha, 2007)

Population with her presence constantly has exerted pressure on the working land surface. This pressure is expressed through physiological density calculation (tab. 3, Map 1). By municipalities and communes, for 2007, it is higher in the town of Lushnja (16 inhabitant/ha) in communes: Fiershegani (3.4 inhabitant/ha) Allkaj (3.2 inhabitant/ha), Tërbufi (3.4 inhabitant/ha) Dushku (2.9 inhabitant/ha). Lower physiological density values is found in commune of Remasi (1.7 inhabitant/ha) Grabjani (1.8 inhabitant/ha), and Ballagati (1.9 inhabitant/ha). Tab. 3 shows that rural families continue to dominate with over 60% of the population and agriculture is the main occupation option of people work in rural areas. Four communes in which families are totally involved in agricultural activities and livestock are: Dushku, Fiershegani, Gradishta and Kolonja. Only Lushnje municipality has lower values of farm families (18.6%). While as district, farmer families account for 69.6% of families in the district Lushnja stressing the fact that it is a district with priorities in agricultural farming. Employment in agriculture accounted 75.3% of the population busy at work, ranking second after Elbasan district.

### 3. The position of agriculture and farming in agricultural economy

Due to its geographical position, favorable climatic factors, soil quality, etc., in the district of Lushnja, are cultivated grains, vegetables, fodder (in the field) and greenhouses and arboriculture (olive, vineyards in the hilly area). Communes of Ballagat, Karbunara, Dushk, Hyzgjokaj and Lushnje municipality (partly hilly area) have considerable area with fruit trees.

Tab. 4. Planted areas with agricultural plants (2002, 2007, 2011) (in ha)

In tab. 4 is noted an increase in the planted area with maize, fodder, vegetables (in 2002, 2007, 2011. Areas ranked the first in the country) (Ministry of Agriculture and Food, Department of Statistics, 2003) and a reduction of planted area with wheat, potatoes and beans.

Reducing the areas with some crops is associated with market demand and competition posed by imports of low priced flour. According to the tab. 4, in the study area, the planted area with cereals was reduced from 19,280 ha (1996) to 14509 ha (2002) and 12824 ha (2011). In 2007 the planted area with cereals in Lushnja round pick still in 12917 ha (it occupies 43% of this surface in Fier region and 9.8% of this surface of the country). While increasing the cultivated area with forage is associated with increased demand for feed for livestock.

Olive culture, vegetables, meat and dairy products remain among the strategic sectors of agriculture and livestock development (*Ministry of Agriculture, Food and Consumer Protection, June 2007*). (Tab. 5)

*Tab. 5. The production of cereals, vegetables and olive at the district level (2007)*

Farming Culture	Production Lushnje (ton)	Production Fier Prefecture (ton)	Production / Production Prefecture (%)	Production Country (ton)	Production / Production. Country (ton)
Cereals	53768	112233	47.9	493639	10.9
Vegetables	91734	138315	66.3	671543	13.6
Olive	2226	4702	47.3	28120	7.9

*Processed table. Source: Ministry of Agriculture, Food and Consumer Protection, "Statistical Yearbook 2007"*

Lushnja circle stands for the creation of the protected area (in Divjake) as a key requirement for the provision of a product within the EU standards and requirements for eventual export of agricultural products, in our case for potato culture (Ministry of Agriculture, Food and Consumer Protection, June 2007).

Tab.6 see how varying indicators of agricultural products per capita in years (Processed table by author)

Kolonja, Hyzgjokajt, Golem, Ballagatit communes and Divjaka municipality, have been growing

Municipalities, communes	Cereals kg/capita '93	Cereals kg/capita '07	Olive kg/capita '93	Olive kg/capita '07	Vegetables kg/capita '07	Vegetables kg/capita '93
<b>District</b>	<b>570.0</b>	<b>301.2</b>	<b>6.3</b>	<b>12.0</b>	<b>929.8</b>	<b>345.7</b>

vegetable production per capita, which shows that the population in these areas deals with the cultivation of vegetables. Various agricultural crops planted in the open field and in greenhouses. Greenhouse owners number in 2005 was 151 owners and area 20.05 ha (0.5 ha heating greenhouses and 19.5 ha solar greenhouses). While forestry situation is varied. Mention apples, pears, plums, cherries, peaches, apricots, figs, berries, dates, pomegranates, citrus, and olives. Cultivation and their growth is realized mainly in agricultural land and family yards.

*Farming* is the second branch after agriculture, wherein most of the economy in rural areas. Lushnja district has good conditions for growth and breeding of cattle and poultry. They grow in each the village.

*Tab. 7. Livestock products in tons and million eggs (2007)*

Livestock production	Production Lushnje	Production Fier Prefecture	Production / Production Prefecture (%)	Production Country (ton)	Production / Production. Country (ton)
Milk	87792	180895	48.5	1015679	8.6
Meats	13398	25387	25.8	157779	8.5
Eggs	25	65	38.5	736	3.4

Tab. 7 there is a high % of district livestock production to livestock production in the country and a assessable % of this country production. Lushnja District remains one of the leading manufacturers in Albania for livestock products. At the county level provides approximately 16.9% of the amount of milk, meat 13.3% and 8.8% of the amount of eggs at the national level.

Tab 8. *Livestock indicators per capita*<sup>59</sup>

Municipalities, communes	Meats kg/capita '93	Meats kg/capita '07	Milk kg/capita '93	Milk kg/capita '07	egg/capita '93	egg/capita '07
<b>District</b>	<b>23.0</b>	<b>54</b>	<b>47.9</b>	<b>494.5</b>	<b>51.5</b>	<b>152.3</b>

Development of livestock is associated with the growth of cattle, sheep, water and field birds and bees. Livestock products are mainly in milk, meat, wool, eggs and honey. Livestock and agricultural products grown in greenhouses and open fields, fulfill the family needs of the district and beyond. In a general perspective, Lushnja district has priority the agriculture and its development. Versus production reports, and in particular the production per capita, at the regional level and country, it demonstrates a great development of agriculture.

But fragmentation of agricultural land remains a problem, which brings a number of difficulties for the production and marketing of agricultural products, and has made large-scale use of agricultural machinery to be difficult.

Agricultural mechanics represented by a wide variety of machinery plays an important role in agriculture. *Problem remains very high price that owners of agricultural machinery assign farmers to perform agricultural mechanized processes as planting, harvesting and threshing, transport, etc.*

Assisting the agricultural economy, has served since 1955, the Institute for Agriculture and Biology (created by a decision of the Council of Ministers no. 337 dated 08.09.1955) and DCM no. 515, dated 19.07.2006 "On the restructuring of scientific - research institutes under the Ministry of Agriculture, Food and Consumer Protection". It became part of the 5 technology transfer centers (ATTC). The other three are located in: Fushe Kruje, Vlora, Shkodra and Korca.

## Conclusion

Evaluating the physical and geographical features of the study area, it is distinguished for efficient and favorable features, towards the development of natural activities of agrarian economy. Climatic conditions, low field relief, the geographical position for marketing of agricultural products, the variety of flora and fauna, etc., create good opportunities to develop economic agrarian activities. From this picture set, there is a significant surface area of working land, which is not vulnerable to natural phenomena that depend on the slope of the landscape, but care should be taken to other potential pollutants as various chemicals and land use excessive. About 20.7% of working land remains vulnerable to erosion and sliding phenomena.

However this agrarian environment remains due to the impact of a range of internal and external factors. Among which are:

- a) Internal factors: \*the cutting large property and depending on their worthiness, have impeded mechanization, reduced interest in agriculture. \* The decline of labor productivity in agriculture, especially for some crops (cereals). \*Damage major irrigation and drainage network. \*The high price of fuel, chemical fertilizers, agricultural inputs and works with motor vehicles. etc.
- b) External factors: \*Competition from imported agricultural products. \*The impact of the crisis on other sectors of the economy, etc.

Farm families commitments in agriculture remain high, where farm families occupying 69.6% of households in the district Lushnja stressing the fact that it is about farming. Higher physiological density is found in the municipalities and communes that are located near the main road axes as communes; Tërbuf, Fiershegan, Dushk, Golem. Agricultural economy priorities and orientations remain mainly cultivating fruit trees in hilly areas and in greenhouses, olives, forage and livestock development (farm and empower entities for processing products) in lowland areas. The data show positive rates cultivation of vegetables and corn culture. Identification of features different through GIS technologies will create more facilities for quick and efficient decision-making.

<sup>59</sup> Note: Tables for agricultural and livestock indicators for capita are processed, the data are obtained in the Statistical Office of Lushnja district and the Regional Directorate of Agriculture, Food and Consumer Protection, the statistics office in Lushnje.

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# IMPROVING THE QUALITY AND RELEVANCE OF RESEARCH OUTPUTS THROUGHOUT PUBLISHING IN SCHOLARLY JOURNALS

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## Abstract:

This article is intended to stimulate the culture of accomplishing top researches and publish their results in good reputation journals. Scholarly publication needs scholarly research and scholarly research needs scholarly researchers. It is sometimes difficult to distinguish between the non-scholarly (peripheral) and scholarly journals. The main difference is the depth of research and the intrinsic value of results. Bibliometricians introduced indicators, depending mainly on citations, to evaluate and rank the journals. Scholarly writing depends on the publication format, which in turn relies on the research discipline of humanities, social sciences, basic and applied sciences, engineering, technology, computing sciences, and information technology. Although lots of publications are faced with lots of rejections, there is still a chance that a manuscript rejected by one journal may be accepted by another journal, in addition, a journal may not accept a manuscript as it has a huge backlog while another scholarly journal may be hungry to receive a manuscript. However, for scholarly writing the authors must follow the journal guidelines to prepare the manuscript and they should not send the manuscript to the editor until having it reviewed with a fresh eye. The publication speed usually takes from weeks to months. However, one can predict the turnaround speed of publication from the colleagues or look at a sample of articles published where written on the first page the date of receipt and publication. This article is also intended to build up a researching character able to react with the criticism imposed by the editor or reviewers.

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**Key Words:** Academic publishing, scholarly journals, quality research

## Introduction

If one keeps his research results, which might have benefits for the creatures, in his disk no one will ever know the existence of his work. The wisdom "says": Publish or perish. It is sometimes difficult to distinguish between the non-scholarly (peripheral) and scholarly journals. The main difference is the depth of research and the intrinsic value of results (Engle, 2008). The is written and published by scholars.

## History of journals and evaluation

The seventeenth century (1665) witnessed the foundation of the first two scientific journals in France and Britain. They were *Journal des Scavans* and *Philosophical Transactions*. Nowadays, majority of journals have print subscription, as well as, electronic version. Nicholas Negroponte (2010) proposed that the future is for the electronic journals, while the print subscription journal will vanish in the coming few years.

Bibliometricians introduced indicators, depending mainly on citations, to evaluate and rank the journals. Gross & Gross (1927) made manual detection of citations, while Brodman (1944) evaluated physiology journals by citations. Eugene Garfield introduced the impact factor for evaluation of journals in 1960; He created the Institute for Scientific Information (ISI). Then the huge agency; Thomson Scientific & Healthcare bought the institute in 1992 to be Thompson ISI, then only named Thomson Reuters. The agency introduced the computer in calculating the impact factor.

Databases and search engines were designed to search for information on the World Wide Web servers for research purposes. ISI Thompson Reuters was the first database used for decades. The improvements of Thompson Reuters database makes it the best database. Despite, new databases engines makes the ISI no longer sufficient. It is claimed by Google that Google remains the most popular search engine, the favorite among both users and professional reviewers for its speed and ease of use. Research experts call it the best search engine for most purposes. On the other hand, Scopus is claimed to list more journal titles and wider variety of countries and languages than Web of Knowledge (Bollen, et al., 2009, Falagas, et al., 2008).

The type of discipline can determine which search engine to be used. Humanities and social sciences researches tend to focus on books or monographs, science, engineering and technology researches focus on publishing in journals, while computing sciences and information technology focus on electronic publication or conferences presentations.

### **Writing with which language**

Are you writing in your native language or English? Majority of journals indexed in international search engines are written in English. English is easy at one level, very difficult at another level and it can be bad at several levels. There must be consistency in English version Language whether it is UK English or USA English and consistency in tense usage; past or present tense with ensuring grammatically correct writing, punctuation and word choice. Re-check grammar, punctuation and style of the journal for which the manuscript is being written.

### **Writing a scholarly paper**

Taking into consideration the various aspects of ethical conduct (Rutgers, et al., 1996), publication in prestigious journals is tough, but meaningful (Hewlett, 2002; Klingner and Pressley, 2005). Scholarly writing depends on the publication format, which in turn relies on the research discipline of humanities, social sciences, basic and applied sciences, engineering, technology, computing sciences, and information technology. The scholarly papers must have considerations for the followings:

1. Clarify the paper vision  
Reasons for writing (Tenure, promotion, harvesting awards, raising the university rank).
2. Illuminate the scope of the manuscript (v) the scope of the journal  
Most of rejections come from manuscript-journal mismatch.
3. Scrutinize your manuscript before it is scrutinized  
Get use of the fresh eye.
4. Peer your article before it is peered  
Get use of the Reviewing Committee in the institute or research centre.
5. Choose the scholarly journal  
With international diversity.
6. Take care of the cover letter when submitting the scholarly manuscript to the journal editor
7. You can suggest certain reviewers and deny certain reviewers.

### **Hearing from the editor**

The first response hearing from the editor (A letter of receipt) usually takes a short time (days or weeks). The editor usually sends you one of the following decisions:

- ❖ Accepted manuscript: Very rare
- ❖ Accepted manuscript with revision: means minor alterations
- ❖ Revise and resubmit: still there is a big chance for publication
- ❖ Rejection and resubmit: still there is a hope for publication
- ❖ Rejection: Irreversible.

Read the editor and reviewers comments carefully when corrections are needed and be diplomatic upon reply. Do not put off the revisions.

Publication speed usually takes from weeks to months. However, one can predict the turnaround speed of publication from the colleagues or look at sample of articles published where

written on the 1<sup>st</sup> page the date of receipt and publication. The final proof follows the letter of acceptance.

Do not panic for rejection, since a manuscript rejected by one journal may be accepted by another journal. A journal may not accept a manuscript as it has huge backlog, another journal may be hungry to receive a manuscript.

### **Conclusion**

Scholarly publication needs scholarly research. However, creating publication in scholarly journals is not an easy job. This type of publication is beneficial for:

- ✓ Future grant
- ✓ Tenure or Promotion
- ✓ Job opportunity
- ✓ Awards
- ✓ The promotion of the institute rank.

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## THE BENEFITS OF INTERDISCIPLINARY APPROACH – A CASE OF STUDYING THE CONSUMPTION OF GREEK WINES IN ROMAN ITALY

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### Abstract:

This paper presents the advantages of an interdisciplinary approach in studying the consumption of Greek wines in Roman Italy. It shows how the research method may influence the obtained results, in some cases even by providing a false picture of reality. For example, the traditional, historical and philological approaches suggest Greek origins of ancient viticulture and winemaking in Italy, dated to the 8<sup>th</sup>-7<sup>th</sup> c. BC. However, while applying new, archeobotanical and genetic methods, local beginnings dated to the Bronze Age seem more probable. Literary sources highlight the popularity of high-quality Greek wines in Rome, whereas archaeological evidence proves that middle-quality beverages were statistically more important. Therefore, the image varies depending on the sources and methods applied. Looking from broader, multidisciplinary perspective allows us to verify information, reduce distortions and come closer to reality.

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**Key Words:** Interdisciplinary Approach, Wine, Viticulture, Italy

### Introduction

Interdisciplinary approaches have recently become popular in many fields of scientific investigation. New methods have been applied even in studying remote times, the traditional space for classical philologists, ancient historians and archaeologists. Some time ago, scientific work would be restricted to each particular research field. Now, more often scholars try to look from broader perspectives, applying methods from other, related areas, or collaborating with specialists from completely different research fields. But is it really useful? Is it right that, for example, an archaeologist rummages in epigraphist's or philologist's room? Is there any benefit for science to be brought by a team composed of geneticists, biologists, archaeologists and historians working together?

In my opinion a multidisciplinary approach is not only beneficial but in certain cases even necessary. As an example, I would like to present how interdisciplinary investigations may change our knowledge about wine in Italy. First of all, I would like to deal with the issue of the supposed Greek impact on the origins of wine in Italy, showing how the conventional assumptions may be changed by innovative approach. In this part, I will use, above all, the results of the projects VINUM and ArcheoVino, regarding the origins of winemaking and viticulture in Etruria and published in *Archeologia della vite e del vino in Toscana e nel Lazio*<sup>60</sup>. Secondly, I will show the results of my own PhD study on the consumption of Greek wines in Roman Italy. On the one hand, I would like to present the image provided by analysing the texts of ancient authors, on the other, the results obtained by studying archaeological material – Aegean wine amphoras. I hope to prove that each category of sources gives different information and, while studied separately, may give an incomplete or even a false picture. Only an interdisciplinary approach allows us to come close to reality.

### The origins of viticulture and winemaking in Italy

In this part of my paper I will present various approaches to the issue of the origins of viticulture and winemaking in Italy, as well as the results that we may obtain by applying each

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<sup>60</sup>Archeologia della vite e del vino in Toscana e nel Lazio. Dalle tecniche dell'indagine archeologica alle prospettive della biologia molecolare, A. CIACCI, P. RENDINI A. ZIFFERERO (ed.), Firenze 2012

approach. Its aim is to show how the application of a particular scientific method and the use of specific types of sources influence the kind of knowledge we have of the past and leads us to different conclusions. Let us start with the analysis of written sources.

### 1. Historical approach

While looking for the origins of winemaking and viticulture from a historical perspective, there is a passage in Pliny the Elder's *Natural History* that has a crucial meaning:

Romulus made libations, not with wine but with milk; a fact which is fully established by the religious rites which owe their foundation to him, and are observed even to the present day. The Postumian Law, promulgated by King Numa, has an injunction to the following effect: "Sprinkle not the funeral pyre with wine;" a law to which he gave his sanction, no doubt, in consequence of the remarkable scarcity of that commodity in those days. By the same law, he also pronounced it illegal to make a libation to the gods of wine that was the produce of an unpruned vine, his object being to compel the husbandmen to prune their vines; a duty which they showed themselves reluctant to perform, in consequence of the danger which attended climbing the trees<sup>61</sup>

This passage was interpreted by Giulia Piccaluga from the Roman University "La Sapienza" that before Numa, the second king of Rome, its citizens did not know wine, because his predecessor, Romulus, made libations with milk. Therefore, it was Numa who introduced wine into Roman religious rites as well as encouraged Romans to the cultivation of *vitis vinifera*<sup>62</sup>. If we assume that Numa was not only a legendary personage, but the real person and lived in the turn of 8<sup>th</sup> and 7<sup>th</sup> c. BC, we may conclude that before this time both vine cultivation and the beverage made of fermented grape juice were unknown. Therefore, it must have been Greek colonists who introduced it in Italy, as they came from the region where wine drinking was popular and precisely in mid-8<sup>th</sup> c. BC they started to settle in Magna Graecia and Sicily. This statement seems to be confirmed by a linguistic approach.

### 2. Linguistic approach

In searching for the beginnings of wine drinking in Italy the study of the etymology of the Latin word *vinum* may be useful. According to L. Agostiniani it derives from Greek οἶνος and came to Lazio via Etruscan *vinun/vinum*, which was its direct etymological ancestor<sup>63</sup>. On the other hand, M. Cristofani claims that Etruscan term *vinum* derives from the word *uinom* attested in Faliscan inscription in 7<sup>th</sup> c. BC and has nothing to do with Greek<sup>64</sup>. But still, this evidence is from the period when Greek colonists were already settled in south Italy and started to export the culture of symposium, during which wine played a central role. Therefore, it is possible to say that these were Greeks who brought viticulture and winemaking to Italy. This hypothesis is generally supported by archaeological material, however, this category of sources may suggest also other explanations.

### 3. Archaeological approach

The study of archaeological material, such as vessels associated with the consumption of wine and wine amphoras, is the main source of information on the origin of Roman wine consumption for archaeologists. Most of this material supports the traditional model. The earliest wine amphoras in Sicily are of Greek origin and other vessels associated with wine consumption are also those typical for Greek culture (such as *krateroi*, *skyphoi*, *oinochoai*, *kylikes* etc.)<sup>65</sup>. In Etruscan graves, as well as

<sup>61</sup> Romulum lacte, non vino, libasse indicio sunt sacra ab eo instituta, quae hodie custodiunt morem. Numa regis Postumia lex est: Vino rogum ne respargito. quod sanxisset illum propter inopiam rei nemo dubitet. eadem lege ex inputata vite libari vina diis nefas statuit, ratione excogitata ut putare cogereantur alias aratores et pigri circa pericula arbusti. M. Varro auctor est Mezentium Etruriae regem auxilium Rutulis contra Latinos tulisse vini mercede quod tum in Latino agro fuisset. Plin. *HN* XIV 88

<sup>62</sup> PICCALUGA 1962: 101-103

<sup>63</sup> AGOSTINIANI 2000: 106-108

<sup>64</sup> CRISTOFANI 1991: 70

<sup>65</sup> HODOS 2000: 45-48

in those in Lazio and Campania, Aegean tableware associated with wine is present<sup>66</sup>. Moreover, in Campania and Etruria Greek amphoras are attested, starting from 7<sup>th</sup> c. BC<sup>67</sup>.



Fig. 1: Greek wine ware from the collection of National Museum in Warsaw  
(from the left): krater, oinochoe and kylix

Vessels for wine consumption together with wine amphoras indicate clearly the consumption of beverages made from fermented grape juice. Therefore, drinking wine seems connected with the adoption of the Greek banquet – symposion and the idea of conviviality.

On the other hand, some of the vessels from Etruria may be dated to the 9<sup>th</sup> c. BC (such as Euboic skyphos from Osteria dell Osa), thus, indicate earlier, contacts with Greek merchants than the time of colonization<sup>68</sup>. Moreover, there are local, Etruscan (without any Greek influence) forms of vessels that may be associated with wine drinking, as well as tools that serve for viticulture that can be dated on Early Iron or Late Bronze Age<sup>69</sup>. Is it not enough to say that origins of winemaking in Italy should be moved back? Especially considering Mycenaean imports among archaeological findings from the south of Italy that may suggest that wine was known there yet in second half of second millennium<sup>70</sup>. If it was so, would it be completely forgotten?

However, is pottery a reliable source of evidence on winemaking? It proves only consumption, thus, foreign wine wares indicate only foreign wine drinking. Moreover, foreign vessels might have been imported only as a sign of prestige, without having anything to do with the beverage<sup>71</sup>. Therefore, although pre-colonial wine consumption or even its local origin may be suggested by archaeological sources, they are not yet proved. Some evidence on production of this beverage (such as e.g. wine presses) and/or traces of the cultivation of *vitis vinifera* could be a confirmation of this suggestion.

66 TORELLI 2000: 92, LA ROCCA 2011: 46-47, D'AGOSTINO 55-57

67 MARANGO 2000: 72, SLASKA 1985: 19-21, DI SANDRO 1981:11-12

68 BRUN 2004: 172, TORELLI 2000: 90

69 TORELLI 2000: 93-94, DELPINO 1997: 186-190, 2007: 138-139

70 LA TORRE 2011: 12-15, VOZA 1986: 559-560, GRAS 1985: 255

71 RUBY 1993: 823

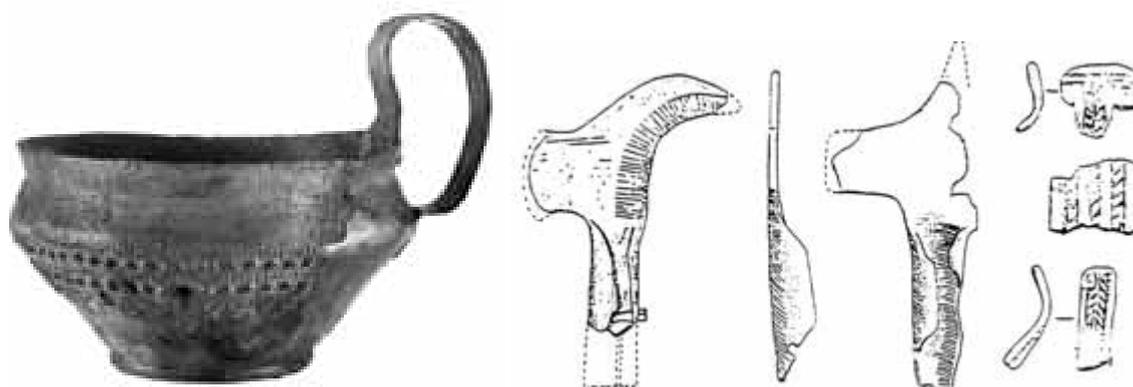


Fig. 2: Etruscan cup associated with wine drinking – a pottery form that has no foreign patterns (on the left) and billhooks that served for the cultivation of *vitis* (on the right)<sup>72</sup>.

#### 4. Archaeobotanical approach

In some archaeological contexts botanical macro samples, such as grape pips, are attested. If their state of preservation is good, it is possible to verify if they come from a cultivated or a wild vine variety. For example, wild grape seeds have rounder pips with relatively short beaks, while seeds of domesticated *vitis* are oval and have longer tips<sup>73</sup>. Careful measurements and appliance of Stumer index (length/width ratio) permit to distinguish them with certain degree of certaintiy<sup>74</sup>. The analysis of archeobotanical samples from Italy proved that domesticated grapes were known in central Italy in the Bronze Age. The earliest come from San Lorenzo a Greve (Middle Bronze Age)<sup>75</sup> then there are those from Chiusi nad Livorno-Stagno, Tarquinia (Late Bronze Age)<sup>76</sup>. However, in the south (in the region of Bari), the vine might have been cultivated even in the Neolithic<sup>77</sup>.

Was it cultivated only for fruit picking? Or rather were the Bronze Age inhabitants of Italy familiar with beverages made from fermented grape juice? The latter seems probable considering that in Livorno-Stagno and Chiusi, apart from grape seeds, the archeobotanical remains of cornel were also attested<sup>78</sup>. Cornel is a plant that may also serve for making fermented drink and, according to Forni, the Romans were aware of it<sup>79</sup>. Therefore, a considerable amount of grape and cornel seeds found on some archaeological sites in Italy from the second half of 2<sup>nd</sup> millenium BC may indicate local wine production, from long before Greek colonization. Moreover, domesticated grape seeds suggest early cultivation of *vitis*, definitely earlier that the reign of king Numa.

On the other hand, seeds of domesticated *vitis* from the Bronze Age contexts were always found together with pips of the wild variety. Therefore, they do not prove that the vine was indeed cultivated, as they might have been an import. Indubitable evidence of the presence of *vitis sativa* on the Apennine Peninsula is not earlier than 9<sup>th</sup> c. BC<sup>80</sup>. This is, however, the time when Aegean merchants could have had an influence<sup>81</sup>. In conclusion, the problem of a local origin of Italian viticulture or influenced by Greeks is still not solved, however, local variant should be definitely seriously considered. It seems more probable while compared with genetic data.

<sup>72</sup> DELPINO 2007: 139, fig. 3, 142, fig. 7

<sup>73</sup> ZOHARY 1996: 27

<sup>74</sup> LENTINI 2009: 59 (Length/width ratio: index between 0.76 and 0.83 – wild species, 0.33-0.44 - cultivated, 0.54-0.75 – undefinable)

<sup>75</sup> pp. 125-131

<sup>76</sup> MARIOTTI LIPPI, MORI SECCI, BELLINI 2012: 122, DELPINO 2007: 134

<sup>77</sup> SETARI 2010: 111

<sup>78</sup> MARIOTTI LIPPI, MORI SECCI, BELLINI 2012: 122

<sup>79</sup> FORNI 2012: 108

<sup>80</sup> FORNI 2012: 110, CINCIRELLI et al. 2008 : 574-575

<sup>81</sup> SOURISSEAU 2011: 155

## 5. Genetic approach

There is interesting information about the origins of Italian viticulture provided by the works of Project VINUM (2004-2006) and ArcheoVino (2006-2008) carried out in Etruria. These were focused on DNA study of modern *vitis silvestris*. Their results proved that specimens that grew near the inhabited areas in antiquity differ from the ones that were found in isolation from archaeological sites. Moreover, in their population more female and hermaphrodite plants were attested, whereas generally males should predominate. This may indicate that man had influence on the wild vine, e.g. by protecting it and selecting female and hermaphrodite plants (over male ones that do not bring fruit) still in the Bronze Age. However, it did not lead to full domestication, as neither vegetative reproduction nor pruning was applied<sup>82</sup>. Therefore, it is possible to form a hypothesis that the inhabitants of Italy in the Bronze Age were interested in vines and could make fermented beverage from its fruits. It was, however, rather primitive and on a small scale till the arrival of the Greeks, who taught them how to take proper care of *vitis* (pruning introduced by Numa in the times of Greek colonization of the Apennine peninsula). They also spread the idea of wine drinking during the symposium (Greek wine ware dominating in archaeological evidence).

As we have seen, the image of the origins of viticulture and winemaking differ depending on the sources we study. Starting from the hypothesis that Greek colonists in 8<sup>th</sup> c. BC were responsible for domestication of *vitis* in Italy provided by analysing only historical sources, we moved back to the Bronze Age, thanks to archeobotanical and genetic data. However, it should be noticed that to claim with certitude that viticulture and winemaking existed, both archeobotanical evidence on domestication and cultivation of *vitis vinifera*, as well as archaeological proofs of wine production and consumption, such as winepresses and vessels designed for wine storage and drinking (ideally with traces of tartaric acid) should be attested. Therefore, it should be noticed that we do not yet have firm and indubitable evidence of pre-Greek, local wine production. However, it is possible to claim that new approaches definitely reduced the importance of foreign influence in this matter and highlighted local factor. Moreover, moved the possible origins of viticulture and winemaking a few centuries backward. It is then possible to say that when the Romans appeared on Italian scene wine was almost certainly known there. In this case, what was the purpose of consuming Greek wines? What kind of Aegean beverages did they import?

### Consumption of Greek wines in Italy – image painted by ancient writers

Among Aegean beverages that appear most frequently in Roman texts there are those from Chios, Lesbos, Thasos, Crete, Cos and Rhodes. Rarely do ancient writers mention wine from Leukadia, Tmolus, Ephesus, Clazomenae, Samos, Sicyon, Cyprus, Mystus, Peparethos (today's Skopelos) or Knidos<sup>83</sup> and there is no literary evidence that the Romans really imported them.

The most frequently mentioned, either by Greek and Roman authors, are wines from Chios and Lesbos. They were white wines<sup>84</sup> that had both a sweet and a dry variety<sup>85</sup>. On the one hand, they were praised by poets due to their delicious taste<sup>86</sup>, on the other, recommended by physicians because of medical values<sup>87</sup>. They were present on the tables of outstanding Romans, such as Caesar and Lucullus, as well as Greeks<sup>88</sup>. Therefore, they were high-quality wines.

The position of Thasian was similar, as it was also seen as a real dainty, drunk together with Chian by Hellenistic kings<sup>89</sup>. It was very fragrant and appreciated by poets<sup>90</sup>, but not so frequently

<sup>82</sup> IMAZIO et al. 2012: 618-620

<sup>83</sup> Plin *HN* XIV 73-76

<sup>84</sup> But it cannot be excluded that Lesbian had red variety called pramnium

<sup>85</sup> Ath. *Deipn.* I 47, 23-27, Orib. *Syn.* IV 3, 1, *Col. Med.* III 4, 1, V 6, 31, V 6, 45, Gal. *Comp. Med. Loc.* VII 10=Kuhn vol.13, p.513, *Vict. At.* 94, *Mat. Med.* V 10=Kuhn vol. 25, p. 696, *Syn.* III 136, III, 160, IV 3.1, *Hor. Serm. Comm.* I, 10

<sup>86</sup> Hor. *Carm.* III 19, 5, *Serm.* II 8, 48-49, *Greek Anthology* XIII 9, 1-2 Longus IV 10, 3, 5, Ath. *Deipn.* I 51, 15-17, I 52, 16-31, I 53, *Com. Att. fr.* 82.4-8 Kock

<sup>87</sup> Aet. VII 112, Ath. *Deipn.* I 56, 27-36, Orib. *Col. Med.* V 6, 45 Gal. *Comp. Med. Loc.* VII 10=Kuhn vol.13, p. 513

<sup>88</sup> Plin. *HN* XIV 96-97, Plut. *Demetr.* 19, 4

<sup>89</sup> Plut. *Demetr.* 19, 4

<sup>90</sup> Cl. Alex. *Paed.* II 2, 30, 2, Aristoph. *Eccl.* 1118-1119, *Com. At. fr.* 82.2-5 Kock

mentioned in medical texts as Chian or Lesbian. All the wines mentioned above were already known to the Romans in 3<sup>rd</sup> c. BC, as they appear in Plautus' comedies<sup>91</sup>.

Crete was famous above all by its *passum*, white, very sweet wine made of raisins<sup>92</sup>. However, it was not an aristocratic drink, as Martial calls it a beverage for poor people<sup>93</sup>, but it could not have been bad, as it is the only one Greek wine mentioned by this poet, who generally depreciated foreign drinks<sup>94</sup>. It was probably not imported to Rome before 1<sup>st</sup> c. AD, as in literary evidence there is no information about such imports.

Wines from Cos and Rhodes were, similarly to Cretan, 'middle-class' beverages. They appear in the texts much less frequently than Chian, Lesbian or Thasian and they are never so highly regarded either by poets or by physicians. It may be due to the fact that they were mixed with seawater<sup>95</sup>. This „adulteration”, according to the ancients, could accelerate the maturation process of the wine and made it sweeter<sup>96</sup>. It does not mean, however, that they were sweet, as in the texts they are described as white (at least in case of Coan) and dry<sup>97</sup> beverages<sup>98</sup>. Although they were less popular and generally had lower position than Chian, Lesbian or Thasian, they were good<sup>99</sup>, acceptable at second tables (Rhodian)<sup>100</sup> and frequently imitated by the Romans (Coan)<sup>101</sup>.

Summarising, Greek wines were consumed in Rome at least from 3<sup>rd</sup> c. BC. They were of good quality, some of them were even among the real delicacies, present above all on aristocratic tables. Therefore, Greece was famed in Italy mostly for its good wines and its production was targeted at high social orders. Is this image confirmed by archaeological data? Let us find out.

### Consumption of Greek wines in Italy – picture based on archaeological evidence

There is no doubt that the ancient inhabitants of Tuscany and Campania consumed Greek wines (beverages from Chios, Lesbos, Corinth and Clazomenae), as the amphoras dated on 7-5<sup>th</sup> c. BC are widely attested in these regions<sup>102</sup>. However, the situation of their neighbours in Lazio is not so obvious. There is only one Greek amphora (from the island of Chios) from the archaic period that was found on the Palatine hill<sup>103</sup>. Moreover, Greek wine containers from the republican age appear rarely in Rome and its neighbourhood. The exception are more than a hundred Aegean amphoras (Chian and Rhodian among them) found in east Suburbium (viale della Serenissima, Quarto del Cappello da Prete), from the times of the late republic<sup>104</sup>.

Greek amphoras start to be widely visible in archaeological material in the Augustan period. Among them there are four types of Cretan amphoras, containers from Rhodes, Cos and Cnidos. One Chian amphora was found in Vigna Barberini<sup>105</sup>. The discoveries in Pompei show that Cretan and Coan wines were sold in *tabernae*<sup>106</sup>. Considering the fact that it is unlikely to sell very high-ranking wine in the tavern, as it was the place designed rather for common people than for higher class members<sup>107</sup>, we may say that beverages from Crete and Cos were not of very high quality. Therefore, we may assume that the targets for Greek merchants were people from the lower social orders.

Fig. 3 shows the ratio of Greek wine amphoras in the whole amphora material found in various archaeological contexts in Rome. As we may see, Greek wines had a considerable share in all

<sup>91</sup> Plaut. *Curc* 78, *Poen.* 699, *Rud.* 588

<sup>92</sup> Plin. *HN* XIV 81, Gal. *Comp. Med. Loc.* VII 2= Kuhn vol.13, p. 30-31

<sup>93</sup> Mart. XIII 106

<sup>94</sup> MARANGO 1995: 28

<sup>95</sup> Plin. *HN* XIV 78-79, Ath. *Deipn.* I 59, 20-22

<sup>96</sup> *HN* XIV 78, *Deipn.* I 47, 19-20, MATTHAIU 1992-1998: 573

<sup>97</sup> Rhodian sweet variety, though of little probability, cannot be excluded.

<sup>98</sup> Hor. *Serm.* II 4,29, Cato *Agr.* 24, 158, *HN* XIV 78-79

<sup>99</sup> Aul. Gel. XIII 5, 8-10

<sup>100</sup> Verg. *Georg.* II 101-102

<sup>101</sup> Cato *Agr.* 24, 105

<sup>102</sup> ALBORE-LIVADIE 1985: 138-145, BOITANI 1985: 23, DI SANDRO 1981:11-12, MARANGO 2000: 72, SLASKA 1985: 19-21

<sup>103</sup> ZEV 1985: 119

<sup>104</sup> CASPIO 2009: 487, fig. 35

<sup>105</sup> RIZZO 2003: 146-147, tab. 26b, 163-164, tab 27b and 27c

<sup>106</sup> TIMBY 2004: 385-387

<sup>107</sup> WILKINS, HILL 2006: 178

the goods imported to the eternal city, between 11 and 19%. Among the Aegean wines, which have a defined origin, beverages from Crete were most popular. Their ratio is from 5 to 11% of the all imported products. The second position was held by Rhodian wines, which in the period between 54 and 68 AD, were ahead of even Cretan. Cnidian and Coan drinks were considerably less significant. The best wine, according to literary sources, from Chios wine was represented only by one amphora from Flavian period.

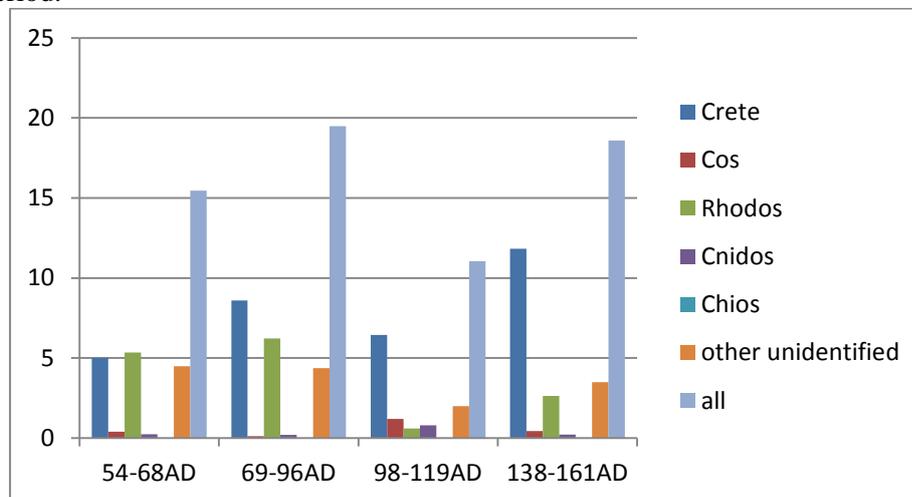


Fig. 3: Share of Greek wines in Roman economy from 54-161 AD (graph made by author of this article based on the statistics published by Rizzo)<sup>108</sup>

Archaeological evidence shows that Greece exported to Rome beverages that were considered of lower quality by ancient authors. Cretan *passum*, the drink of poor people and one of the cheapest wines among all imported<sup>109</sup> was the most popular of all Aegean beverages. On the other hand, wines praised by poets and recommended by physicians (Chian, Lesbian and Thasian) are completely or almost insignificant in the archaeological material. Therefore, the image of the consumption of Greek wines in Roman Italy provided by archaeological evidence is utterly different from that painted by ancient authors.

## Conclusion

As we have seen, our image of the consumption of Greek wines in Italy can vary depending on the category of sources we use. Sometimes different approaches give new, additional information, without denying those provided by other methods of study. As an example, we may evoke the historical analysis of ancient texts and linguistic etymology of the word *vinum*. Even archaeological investigation, though it provided some doubts, generally confirmed the traditional model of the key-role of Greek colonists in implanting viticulture and winemaking in Italy. However, in some cases, the data obtained by various research fields may be completely revolutionary. Such was the case of genetic analysis of *vitis silvestris*, which proved almost with certitude that at least the habitants of the Tyrrhenian part of the Apennine peninsula were interested in vines long before contacts with the Greeks. Moreover, the botanical study of grape seeds indicated the presence of domesticated grapes in Italy as early as the Bronze Age. This evidence, although do not permit us to claim that wine was certainly made locally in this period, makes this hypothesis more probable. On the other hand, it certainly proves that the affirmation that the Greeks had everything to do with wine and vine on the Apennine peninsula is unjustified.

In the case of the consumption of Greek wines in Italy, studying ancient texts is useful in learning their characteristics, such as colour, taste, age, rank and other qualities. However, it may be misleading, as it concentrates our attention on high-quality beverages. It leads to a general conclusion that all Aegean beverages were renowned, and that Chian, Lesbian and Thasian were the most

<sup>108</sup>RIZZO 2003: 146-147, tab. 26b, 163-165, tab 27b and 27c, 175, tab. 29, 180, tab. 30b

<sup>109</sup>TCHERNIA 2011: 257-258

popular. Therefore, the conclusion based on the study of literary evidence would be that Greece was particularly famous for luxurious wines, praised by poets because of their taste and recommended by physicians due to their medical valours. This may lead us to think that the marketing target of Aegean merchants would be the Roman aristocracy. Moreover, literary sources do not provide any information about the quantities of Greek wines imported to Italy.

On the other hand, focusing only on archaeological evidence, we would say that Thasian and Lesbian wines were not drunk in Rome at all, as no amphoras deriving from these islands were attested in the Eternal City. Moreover, we would say that the consumption of imported beverages hardly existed in the republican period, because, for this time, the archaeological evidence is really scarce. It would seem obvious that the most popular Greek wine was Cretan, the second place would be reserved for Rhodian, while Coan, Cnidian and Chian could be seen as almost insignificant. Due to the fact that many amphoras were found at the *tabernae*, we would say that they were low or middle-quality beverages, as rich people do not frequent such places. The statistics would show the quantity of wines that Romans imported from Greece, but we would not have any information about their qualities. Only the combination of archaeological and literary evidence allows us to come close to ancient reality. It shows us Greek islands as exporters of either high and middle-class beverages. Thanks to interdisciplinary approach we learn both about characteristics of Greek wines and their share in wine trade between Tyrrhenian and Aegean basin.

It should be noticed that in studying the consumption of Greek wines in Italy other sources of information, as well as other scientific methods, could be applied. The most important is epigraphy<sup>110</sup>. Studying amphora stamps and painted inscriptions (so called *tituli picti* or *dipinti*) will surely provide new details regarding the characteristics of Greek wines, and, what is even more important, about people who were involved in their production and commerce. On the other hand, the DNA study of amphora residues could help to verify the information provided by texts, while experimental archaeology would be useful in recreate a real taste of Greek wines.

Summarising, the interdisciplinary approach is definitely useful and advantageous and should be applied more often. It is surely welcome in scientific research.

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<sup>110</sup> That I am indeed going to use in my PhD research in future.

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# THE DYNAMIC TRANSITION FROM LIMITED ENGLISH PROFICIENCY INTO ENGLISH PROFICIENCY IN ASSESSING UNIVERSITY STUDENTS' UNDERSTANDING OF CHEMISTRY CONCEPTS

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## Abstract:

Jordanian students study science using their mother tongue Arabic at school; however, they shift into English in studying scientific courses at university. The study investigates if using English in assessing the level of understanding scientific concepts would underestimate the level of freshman's comprehension for those concepts. The results of the study show that the group of freshman students who had been tested with the Arabic version of SAP (Symbolic Application Particulate) chemistry test did better than the group who got the English version 41% > 38%, without a significant difference at  $\alpha = .05$ ; the results also show that senior students who had been tested with the English version of the test did better than those who had been tested with the Arabic version 49% > 44%, still without a significant difference at  $\alpha = .05$ ; the results also show that the two groups of sophomore students (who had been tested with the English version and those who had been tested with Arabic version) got the same average -39% each.

The findings of the study show that there is a dynamic transition in students' ability to comprehend scientific concepts; students became more fluent in understanding scientific concepts at later stages of study.

The findings of the study suggests that important decisions related to the academic achievement of freshman students (as acceptance into medical college) should not be based upon assessment in English language content courses at the early stage of students' academic study.

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**Key Words:** Science-assessment, dynamic transition, English language proficiency

## Introduction:

Brown, Reveles, & Kelly, 2005 show the importance of understanding the role of language in science learning; it was considered that learning science ideas exist independently of the words; the scientific language (presenting ideas in linguistic, symbolic and mathematical form), add conceptual depth for understanding concepts at higher levels of specificity. The study indicated that if science instruction used English as the only means of presenting new concepts to students who have a low proficiency in this language, the risk would be that new ideas would be presented using incomprehensible language on the part of students. Science instruction that does not take into account the language factor runs the risk of negatively affecting students' conceptual understanding.

Brown & Ryoo 2008, Seigle, 2007, indicated that assessing students' science learning implies assessing the assessment tool to be linguistically accessible for students with limited English proficiency. Solano-Flores, & Nelson-Barber, 2001, considered that the sociocultural perspective allows assessment developers to make informed decisions involving word equivalent across languages.

Kelly & Green 1998 show the implication of testing the specialized content knowledge of students in their second language. They considered that the cultural practice of assessing students as

literate members in the community of science by the means of a second language could hide under using it political ideology.

Gumpers, 1982 indicated that individuals learn to signal their identity (indication of how an individual want to perceive as) through language, that reflects abroad set of symbols that are constructed in moment-to-moment interaction, over time and over a broader sociohistorical context.

In the same way, Gee 2001, considered that language use can be seen as a resource for signaling one's identity as well as a resource for maintaining cultural and political identity. Identity is dynamic in nature and can change from moment to moment in the interaction and can change from context to context. Agar, 1994 emphasized that one can't use a new language unless he changes the consciousness that is tied to the old one. It is the issue of appropriating changes in the consciousness associated with science language use; students may choose to avoid certain linguistic forms in an effort to maintain their personal identities and group affiliation.

Brown et al., 2005 indicated the importance of understanding the relationship between the language students use in learning, and their identity- the way students perceive language that had been used as a medium of instruction; students should have an appropriate identities associated with those language that had been used as a medium of instruction. If students perceive science language to be a form of cultural membership, then they would experience feelings of conflict when scientific concepts are presented in their second language. Reading and teaching science without respect to the language that is used as a medium of instruction that is associated with students identity, could cause feelings of identity conflict, marginalization or promote notion of inferiority and discursive identity development for students. Without an ideology that carefully examines the relationship between language, identity, and students' learning, researchers make the erroneous assumption that participation in science occurs free from the cultural implications associated with language use.

Lee, O., Deaktor, R., Enders, K., & Lambert, J., (2008) considered that the product of the intense social and linguistic interactions associated within adolescents' public discourse make science courses a point of potential conflict for students. Students' adaptation into school culture of science may pose challenges to their identity development. This issue would be complicated when school culture conflict with students primary cultural identity. The culturally complicated of language, identity and classroom learning becomes increasingly intense as students are enculturated into science education. Students become bicultural and bilingual through the merging of their first mother language culture into second language scientific culture. Lee et al., 2008, indicated that such issue stands in direct conflict with science educators' adherence to the notion of universalism, in contrast to the long-held conceptions that present images of science as a culturally neutral medium, sociolinguistic research suggests that serious linguistic issue may exist for those who used English as a second language; Lee, et al., 2008, suggested that such an area of study is often considered elite; science and its associated discourse reflects elite membership in the cultural ecology and that science educators should understand that minority students face dual challenges of mastering the main stream language while also learning the content and processes of academic scientific discipline.

**Previous researches:** The study of Tobin, 1996, show that despite Chinese-Australian students' efforts to learn chemistry with understanding, difficulties in speaking and writing English were factors that limited their performance; using English language to learn chemistry and assess performance placed students with limited English proficiency (LEP) with a potential failure. The results of the study indicated that learning chemistry can be facilitated when LEP students are provided with opportunities to fully employ their native language in learning and assessment.

The results of the study also indicated that if primary goal of Chinese students who their primary goal was studying science, and who did not expect the teaching to be in their own native language, have still less difficulties to adaptation from other minority students; Chinese students usually succeeded academically in later stages of learning, while they have to make an extra effort at the beginning. The result of the study also indicated that science achievement for LEP students at lower stages of learning was statistically lower than those who were proficient in English.

The study asserted the conclusion that at lower stage of study Chinese students' understanding of chemistry were under- assessed because of their inability to represent what they knew in English. Limited English proficiency can be particular handicap in tests and examinations where inability to make sense of questions can make it impossible for students to make a start and

show what they had earned. Students who did better in chemistry did so because they were able to overcome the barriers of having limited proficiency in English relatively quickly.

Accordingly; the study suggested several low cost ways to reduce such problem:

- a. Because Chinese students are learning chemistry in a second language- English-, it is necessary to give them more time to complete their scientific tasks if they were written in English;
- b. Instead of making proficiency in English prerequisite to science learning, or using the native language as a medium of instruction, the solution is to overcome deficiency in English while building corresponding skills in science learning.

The study of Lee, Maerten-Rivera, Penfield, LeRoy, & Secada, (2008) examined science achievement gains and gaps at the completion of the first year implementation of a project that had been designed to handle limited English proficiency. The project developed a science test in English to be consistent with the language of instruction. Results on Stanford Achievement Test indicated that although English proficient students still performed significantly better than limited English proficient students, however, science achievement for LEP students increased in direct relation to the number of year's minority students participated in program. On the other hand, the study show that although modification had been entered for the science test that had been developed in English to be consistent with the language of instruction, however, the study concluded that the modified written assessment in English still underestimate the science knowledge for students with limited proficiency in English.

The study of Lee, Deaktor, Enders, & Lambert 2008, indicated that although white English students did better in science at lower grades, the achievement gaps sometimes narrowed with fourth grade

Stoddart, Pinal, Latzke, & Canaday, (2002), considered that when teaching science to bilingual students, science educator should not assume that proficiency in English is a prerequisite to academic success in science; their study show that the integration of science instruction and language acquisition enhances learning in both domains.

The study of Brown & Ryoo, 2008 used the design of content- first approach to assess the performance of students with limited English proficiency (LEP) in science tests. The approach depends upon merging between teaching scientific content while providing scaffolding for LEP students; adopting systematic way of addressing the challenging relationship between language, identity and science learning.

The findings of the study indicated that teaching English as a second language for LEP students should not be considered as a prerequisite for understanding scientific concept and that the impact of content –first approach to instruction, is critical for such type of students. The study concluded that such approach as teaching science concepts in English while providing instruktural scaffolds to help LEP students in constructing scientific meaning can promote an understanding of scientific concepts as well as enhance students' proficiency in English.

The project of Solano-Flores, & Nelson-Barber, (2001) aimed to ensure validity of measuring the academic achievement of students with limited English proficiency, and to reduce the impact of limited English proficiency on the skills being measured. The results of the study show that despite LEP students were having an understanding for scientific principle; still they were not being able to demonstrate that knowledge in the test. The obstacles to attain the goal of the project were that the validity of assessments depended upon the proficiency in the language being used in assessment.

The study of Brown, 2006 explore how students' identity affect science learning through identifying the issues of linguistic conflict that could initiate identity conflict for students whose mother language is not English. The study findings indicated that under achievement of students who studied science as their second language is a product of linguistic differences. These findings, they suggest, highlighted the complexity of attempting to provide equitable science learning environment.

The study of Abedi , Lord, Hofstetter, & Baker, 2000, show that assessments with linguistically modified items proved to be the most effective in narrowing the gap in performance between students with limited English proficiency –LEP- and those with English Proficiency; the modifications happened in such a way as altering several linguistic features through switching infrequent words with more common words, shortening the names, and removing relative clauses.

The study of assessments Seigel, 2007, represents the findings of research –based project aimed of developing useful assessments that are equitable for LEP students (Limited English Proficiency). The study have the assumption that using English in assessing LEP students brings up questions of validity and fairness; they considered that the performance of any student is very dependent on the wording that is used in assessment, and that LEP students take longer time to read in their second language than in their mother tongue. The study focused on the ways to improve written science assessments to make it more accessible and equitable for students.

The findings of the study show that translating items into students' native language proved to be difficult and ineffective because language and content are linked; if instruction add a new concepts not familiar to students in their first language; translation the assessment would introduced more ambiguities and confusion to students. Also, the findings show that integrating language instruction with academic content was a difficult task; most teachers were not equipped to make such integration; beside that; they were unaware of the center commonalities between science and language teaching.

On the other hand, the findings of the study project show that the principles for equitable assessment to increase fairness depend upon using design that requires the careful consideration of many factors as:

- 1- Assessment should match language of instruction to items of assessment.
- 2- Assessment should be linguistically comprehensible for LEP students by offering modification for the content of assessment to make it more comprehensible. Written assessments should be readable, comprehensible while sentences can be shortened.
- 3- Assessment should challenge students to think about difficult ideas without watering down content; controlling of language factor should take into account not to affect such content; the challenge is to simplify items linguistically without affecting the meaning.
- 4- Assessment should elicit student' understanding.
- 5- Assessment should scaffold the use of language to support students' comprehension, such as providing sentence starters, graphic organizer; a sequence of classroom assessment may begin with scaffolds that are later removed as students make a progress into later stages of science learning.
- 6- Assessment should use designs to reduce anxiety, extent time limits, adding visual support, and providing customized glossaries.
- 7- Assessment can be used to determine how much language affects performance on items in different languages. Items should be improved, in many ways as possible, to make them more comprehensible. The development and the refining of the items should be in both languages at the same time so that both versions are validated using the same process.

#### **Rationale:**

Looking for equitable assessment that can contribute to science learning for students whose their native language is not English, is a goal of increasing importance (Siegle, 2007)

This study tried to investigate if assessing academic achievement in second language- English- is adequate in evaluating the performance of Jordanian university students. The study examines the success of university students in their transition from high school culture of using their mother tongue Arabic in their academic study, into university culture of using a second language – English- in their science studies.

Specifically; the study tries to answer these three questions:

- 1- Is there any significant difference on performance between the two groups of freshman students, those who get the Arabic version of SAP (Symbolic Application, Particulate) chemistry test, and those who get the English version of it?
- 2- Is there any significant difference on performance between the two groups of sophomore students, those who get the Arabic version of SAP (Symbolic Application, Particulate) chemistry test and those who get the English version of it?
- 3- Is there any significant difference on performance between the two groups of senior students, those who get the Arabic version of SAP (Symbolic Application, Particulate) chemistry test, and those who got the English version of it?

**Analysis of findings:** The sample consisted of 84 students at three stages of university studies, freshman, sophomore, and senior (28 each); the assessment took place at the end of the term; both freshman and sophomore students were studying General Chemistry 101; the senior students were studying organic chemistry

Students were assigned randomly to two identical versions of SAP (Symbolic Application Particulate) chemistry test (Designed by Dorothy Gable, 1994), 14 students at every stage, had been tested using the Arabic version of the test, the other 14 had been tested using the English version of the test.

Table 1 shows that the group of freshman students who had been tested with the Arabic version of the test did better than the group who got the English version of it, 41% > 38%,

The standard deviation for freshman students who got the Arabic version of the test and the students who got the English version of it had been obtained,  $S_{x_1-x_2} = 1.36$ ,  $t = 12.14 - 11.43 / 1.36 = .52$

The critical value for  $t$  at  $\alpha_{.05} = 2.056$ , which means that there is no significant difference between the group who got the Arabic version of the test and those who got the English version of it.

Table 1 also shows that the two groups of sophomore students (who had been tested with the English version and those who had been tested with Arabic version) get the same average - 39%, each.

Table 1 also shows that senior students who had been tested with the English version of the test, did better, than those who had been tested with the Arabic version of it 49% > 44%.

The standard deviation for senior students who get Arabic version of the test and the students who get the English version of it had been obtained,  $S_{x_5-x_6} = 1.36$ ,  $t = 14.64 - 13.14 / 1.36 = 1.1$ .

The critical value for  $t$  at  $\alpha_{.05} = 2.056$ , which means that there is no significant difference between the group who get the Arabic version of the test and those who get the English version of it.

### Conclusion:

The results of the study show that at early stages of studying science courses, using a second language- English, freshman students who had been tested with the Arabic version of the test, did better than the group who got the English version of it, 41% > 38%, without a significance difference at  $\alpha = .05$ ; however, this gap had been narrowed at the second year of university study; the two groups of sophomore students (who had been tested with the English version and those who had been tested with Arabic version) got the same average -39% each; the lower in performance for sophomore than freshman students in the Arabic version of the test, could be explained by the fact that the sophomore sample had been drawn from students who were studying General chemistry 1; and those students who usually postponed the General Chemistry I to second year are usually not the higher achiever.

The results of the study also show that at later stages of university studies, students became more customized to using their second language in their academic studies; senior students who had been tested with the English version of the test did better than those who had been tested with the Arabic version of it 49% > 44%, still without a significant difference at  $\alpha = .05$ .

The fact that freshman students did better in the Arabic version than in the English version of the test, could be explained by the fact that freshman students come to university, usually, mastering their first language, being customized to using such language in understanding scientific content; however, such fact is usually overlooked in assessing their performance by only depending on English language on such assessment.

These findings indicate that important decisions related to the academic achievement of freshman students (such as acceptance into medical colleges) should not take place depending upon assessment written in the students' second language at the early stage of their academic study.

Freshman students are faced with the additional challenge of learning academic content and process through the medium of instruction of a new language. The policy makers must reconsider the notions of underachievement of those students in university science courses by incorporating a theoretical and pedagogical perspective that recognizes the role of students' original cultural identity – Arabic- as an influential component of their performance in science at university studies, without such recognition, there would be the risk of underestimating students' performance in their initial years of study. Lee et al., 2008 indicated that if science educators and policy makers fail to address the social, cultural identity, associated with teaching science courses, the underachievement of limited English proficiency students in science courses will continue to be invisible.

The solution of the problem could be done by introducing modification to the assessment of LEP students (limited English proficiency) as Shaw 1997, had suggested, through increasing the clarity of assessment design; allowing more time to complete assessment; and not to make a serious decision concerning the level of LEP students; assessment in English could confound subject matter knowledge with English language proficiency.

The fact that senior students who had been tested with the English version of the test did better than those who had been tested with the Arabic version of it 49% > 44%, could be explained in that there is a dynamic transition in students' ability to comprehend scientific concepts in their second English language. Brown, 2006 indicated that the customization of students for the way of presenting scientific language would highlight the dynamic cultural interaction that comes into play when one considers how the language of science has the potential to affect students' sense of self identity.

This theorization would explain how Jordanian students who seek to be seen as intelligent by being fluent in using their mother language in their primary education at school level have to face cultural conflict at the beginning of their university studies. Students face the dilemma between perceiving themselves as intelligent in mastering the basic tool of their native culture (being fluent in their mother language), and making a good performance in academic study in the second language. Students have to make changes in the consciousness that is tied to the use of the Arabic language to make good performance in their academic studies in the second language, and the results show that senior students had succeeded in doing that.

These results of the better in performance for senior students in the English version of the test agree with the study of Tobin & Campbell, 1996. Their study shows that Chinese students whose primary goal was studying science were facing less difficulties in making good performance from other minority students; Chinese students usually succeeded academically in the later stages of learning, while they had to make an extra effort at the beginning.

These findings agree also with the theorizing of Gee 2001, that identity is dynamic in nature and can change from context to context.

Further studies are needed to investigate whether using a second language in the assessment of students' academic performance would underestimate their true level of achievement.

**Acknowledgment:** The SAP test that had been used to accomplish this paper depended upon the copy that had been sent to the author in the year 1996 via e-mail and regular mail from Professor Dorothy Gabel. Several researches had been done by the author in the past years using this instrument.

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**Table (1)**

**Comparison between freshman, sophomore and senior students in their performance on SAP test**

Students' group	No of student	Average	Percentile	Std-deviation
Freshman Arabic version test	14	12.14	41%	3.9
Freshman English version test	14	11.43	38%	4.64
Sophomore Arabic version test	14	11.64	39%	3.43
Sophomore English version test	14	11.71	39%	2.7
Senior Arabic version test	14	13.14	44%	4.42
Senior English version test	14	14.64	49%	3.25

## RITUALISM IN NIGERIAN HOME VIDEOS

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### **Abstract:**

The media is a mirror of the society. Like other movie industries in the world, Nollywood, (the Nigeria home video) is significantly involved in the framing, reflection and identity construction of Nigeria and African society through its cultural representations. This study investigates the portrayal of ritualism through indigenous language in Nigerian home video films. A content analysis of thirty Yoruba home video films reveals that ritualism is significantly depicted in Nigerian indigenous home video, with 46 cases recorded and it is found as an essential part of African Traditional Religion. This is reflected in the elaborate use of African traditional totems like shrines, statutes, palm oil, drawings, clothes of special colours (e.g. red, black and white), and extra-mundane communication like incantations and diabolism. It was concluded that the purpose of ritualism is neither good nor evil since ritualism itself is an application which can either be positively or negatively used to solve life's problems.

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**Key Words:** Ritualism, Nigeria, Nigerian home videos

### **Introduction**

The media is a mirror of the society. Like other movie industries in the world, Nollywood is significantly involved in the framing, reflection and identity construction of Nigeria and African society through its cultural representations (Akpabio, 2007; Anoliefo, 2008; Babawale, 2009). According to Uwah (2011), the use of films as a meta-narrative in exploring the religious identity of Africans is something of a revelatory process towards understanding not only the religious culture of the people but the efficacious use of indigenous languages and communalism as practiced in Africa. This paper is thus aimed at interpreting the industry's ritualistic representation as distinct from other mainstream film industries.

### **Background on Nigerian Movie Industry**

Nigeria home video industry, popularly known as Nollywood is the third largest film industry in the world after America's Hollywood and India's Bollywood (Alozie, 2010). It produces more than 1,000 video films annually and it is estimated that 120 films are released weekly across Nigeria (Osei-Hwere and Osei-Hwere, 2008; allafrica.com, 2008). Most of the films produced are viewed at home, not in theatres and that qualifies them as home-videos (Ebewo, 2007). They are also regularly scheduled and shown on free to air television, cable and satellite channels at home and around the world.

According to Alozie (2010), Nollywood was given significant impetus in 1992 when businessman Kenneth Nnuebe wanted to sell a large shipment of videocassettes from Taiwan and decided they would sell faster if they had something on them. The production of the movie "Living in Bondage" thus gave birth to what became the second largest industry in Nigeria after agriculture with little or no help from the government (The Economist, 2006).

Prior to the emergence of Nollywood in 1992, film begun in Nigeria for over seven decades, as the first known film, "a newstreet", was exhibited at the Glover Hall in Lagos in 1903 (Babawale, 2009). However, "Palaver" became the first film shot in Nigeria at Jos in 1904 (Alozie, 2010). That was the era when Colonial Film Unit (CFU) came into existence during the British rule. The films produced were primarily aimed at propagating political, social and economic policies of the colonial administration and Western cultural values at the expense of domestic ones (indigent populations) (Anoliefo, 2008). But the trend began to change in the 70's when indigenous players began to surface.

That was when the first independent film, an adaptation of Wole Soyinka's "Kongi's Harvest", was made in 1970 (Ekwuazi, 2007).

Kunzler (2007:1) summarizes the emergence of Nollywood thus;

It is an industry that developed out of a context related to domestic and international cultural, economic and political environments. ...it is heterogeneous in nature and can roughly be divided into Yoruba, Hausa and Igbo video films which designate their production centres in the southwest, north and south-east of Nigeria respectively.

Thus, like other cinemas which sustain and challenge the myths of a country's nationhood, Nollywood is guided by the tenets of African nationalism and cultural identity (Williams, 2006:6).

### **The Problem**

'Ritualism' is an important aspect of African traditional religion and it is one of the dominant themes portrayed in Nigerian movie industry (Okwori, 2003; Akpabio, 2007; Alozie, 2010; Uwah, 2011). It is often conveyed or expressed through the use of African indigenous languages. However, critics and the regulatory body (National Film and Video Censors Board) have severely criticized Nigerian home videos for placing too much emphasis on what is described as 'negative themes', which include occultism, blood, corruption, sex, violence, fetishism, ritualism and other negative practices.

Despite the criticisms, new videos are released into the market thus necessitating this study. Also considering ritualism as an aspect of African traditional religion, the present study seeks to investigate the prevalent significant depictions, subjects, contexts, perceived purposes and directions and totems portrayal of ritualism in Nigerian home videos, in relation to African indigenous language and culture.

### **Research Questions**

1. To what extent are rituals conveyed through indigenous language in Nigerian home videos?
2. What cultural totems, subjects and contexts are dominantly depicted in Yoruba language home videos as an instance of Nigerian indigenous language media offering?
3. In what light is ritualism portrayed in Nigerian home videos?

## **Literature**

### **African Traditional Religion**

The term "African Traditional Religion" is used in two complementary senses (MacGaffey, 2008). First, it is loosely used to encompass all African beliefs and practices that are considered religious but neither Christian nor Islamic. Secondly, the expression is used almost as a technical term for a particular reading of such beliefs and practices, one that purports to show that they constitute a systematic whole- a religion comparable to Christianity or any other "world religion". In that sense, the concept was new and radical when it was introduced by Parrinder in 1954 and later developed by Bolaji Idowu and John Mbiti (MacGaffey, 2008). In defining the concept of African traditional religion, Awolalu and Dopemu cited in Omotoye (2011:24) said;

When we speak of African Traditional religion, we mean the indigenous religion of the Africans. It is the religion that has been handed down from generation to generation by the forebears of the present generation of Africans. It is not a fossil religion (a thing of the past) but a religion that Africans today have made theirs by living it and practicing it. This is a religion that has no written literature, yet it is 'written' everywhere for those who care to see and read. It is largely written in the people's myths and folktales, in their songs and dances, in their liturgies and shrines and in their proverbs and pithy sayings. It is a religion whose historical founder is neither known nor worshipped. It is religion that has no zeal for membership drive, yet it offers persistent fascination for Africans, young or old.

The above definition summarizes what African traditional religion is all about. It is an age-long religion originated by Africans in Africa and for Africans as well as for anyone who cares to be involved. It encompasses beliefs in a supreme God, other gods, ancestors, communal rituals, personal rituals and recognizes the existence of witchcraft, magic and sorcery, sacred specialists and other spiritual forces (Parrinder, 1974).

It is important to note that the religion has been widely criticized and misinterpreted by the early European explorers, researchers and other non-African religious bodies. According to Omotoye (2011), many of the groups mentioned used obnoxious and unacceptable technologies to describe the religion. This includes the use of terms like “Fetishism”, “Withdrawn god”, “Polytheism”, “High god of the Primitive People”, “Idolatry”, “Heathenism”, “Paganism”, “Animism”, “Juju”, and “Ancestor Worship”. These terms have been rejected at different fora and in scholarly publications by notable African scholars some of which include; Samuel Johnson, Olumide Lucas, E.G Parinder, Bolaji Idowu, John Mbiti, H. Sawyer, E.G. Ilogu, Christian Gaba, Afolabi Ojo, P.C. Lloyd, E.W Smith and Wande Abimbola (Omotoye, 2011).

### **Ritualism**

The term ‘ritualism’ in African context, refers to a wide range of traditional religious rites and spiritual religious activities carried out to invoke the gods for a particular course. It involves the use of incantations, a part of indigenous language used for spiritual matters. It also involves the use of charms, magic, blood, amongst others. Generally, ritualism is deeply embedded in African traditional culture and religion (Kuwenda, 2007; Okwori, 2003; Ebewo, 2007; Anoliefo, 2008).

Uwah (2011) described ritual as a place where people integrate short-term pragmatic goals and the longer-range mythic values of a culture, where they can replace personal alienation with an affirmation of personal identity. Making reference to Victor Turner who propounded theory of ritual process, Uwah (2011) noted that every society’s attempt to mobilize itself to solve its broader societal problems leads to an emphasis on authoritarian institutions, creation of status differentiation, justification of the concentration of power inequality, reward of individual ambition, technical knowledge and other forms of structure, which often lead to conflict, alienation and oppression. This holds that ritualism is a panacea to solving life’s problems.

According to Turner in Uwah (2011), part of the purpose of religious rites and rituals is to impress young people with their duties to the community and recall to those assuming positions of chieftaincy that they should not use their power for their own interest but to serve the whole community. In his interpretation, there are three moments in the ritual process: leaving the realm of structure, entering into symbolic experience of community which is deeply emotional and pleasurable and the returning to the context of structure with a sense of social values. Ritual is thus celebratory, consumatory (an end in itself) and decorative, rather than utilitarian in aim and often requires some element of ‘performance’ for communication to be realized.

Relatively, Nigerians’ experience (in everyday life) communality in festivals, traditional dancing tunes and steps, religious worships and socio-cultural cooperation in works (Uwah, 2011). Hence, rituals, whether in real life situations or in Nollywood films, have two references to what they achieve: backward to convention, habit, agreement and established order, and forward to immediate soon-to-be realized social significance of an underlying order (Rothenbuhler, 1998)

### **Culture in Home Video**

Culture is a complete whole, including knowledge, belief, art, morals, law, customs and other habits required by people as members of a society (Luzbetak, 2002). It is “the summation of both individual and collective life of a society which comprises its ideas, behaviours, social, religious and political peculiarities, sentiments and expressions” (Akangbe, 2008: 61). It is the totality of man’s life. Thus, the representation of rituals in Nollywood can be said to be a combination of features of culture which are overwhelmingly rich and varied in their manifestations to represent people’s way of life (Hannerz, 1997).

To undertake the study of cultures in this way, especially that of religion, through its narrative address, does not merely draw attention to its language and rhetoric; but also attempts to alter the conceptual object itself, where its positive value lies in displaying the wide dissemination through which we construct the field of meanings and symbols associated with its national life (Uwah, 2011).

In this light, particularly African religious life and culture are presented from the perspective of nuanced visual and textual analyses.

### **Religion as a way of life**

Religion is an integral part of man as well as African traditional life (Dipio, 2007). The ritual of faith and religion in African traditional worship is thus deeply embedded in almost every religious-social rituals. It enhances their identity as a people and offer clues to understanding their cosmological framework and thought patterns. Since Africans believe that God is a higher spiritual force that is involved in their affairs as a community and individuals, they reach out to him through other gods and minor deities like Sango or Amadioha, the god of thunder; Ogun, the god of Iron; Ala or Ani, the earth goddess; Ajoku, the yam god; Osun, the river goddess and several others. On the personal level, there is always a personal or family god who is considered to wade off evil and bring good luck to individuals and families.

This understanding frequently gets represented in Nollywood films, especially in rituals and symbolically conveys the notion of faith in God and the gods, not only in the traditional setting, but also in modern day African society (Haynes, 2000; Ogunleye, 2008; Alozie, 2010).

### **Use of Indigenous Language in Home Videos**

Although film production began in 1904 in Nigeria, no film was made in indigenous languages until the commencement of feature film production by indigenous producers in the late 1970s {Babawale,2009:4}. Among the earliest films produced in indigenous language were *Aiye* and *Jaiyesimi* by Herbert Ogunde, *Orun Mooru* and *Aare Agbaye* by Moses Olaiya There were also *Irele Onibudo*, *Efunsetan Aniwura*, *Fopomoyo*, *Ose Sango*, *Agbo Meji*, *Ogbori Elemoso*, *Okun Ife*, *Vigilante*, *Ija Orogun*, *Kadara*, *Ija Omimra*, *Ajani Ogun*, amongst others {Ogunleye,2008}. Among the earliest pioneers of indigenous producers were Herbert Ogunde, Ola Balogun, Adeyemi Afolayan, Moses Olaiya, Brenda Shehu, Eddie Ugboma and Ishola Ogunsola.

According to Babawale (2009) films in indigenous languages were made in quick succession from the late 1970s to the mid1980s and Yoruba language dominated the scene. This according to Babawale was due to the existing structure provided by the Yoruba Travelling Theatre especially in terms of personnel and marketing. The Igbo films became the most prominent after the Yoruba with the production of *Inuku* (1993), *Omenuko* (1994), *Echidimme* (1996) and *Nneka* (1996). Olagore (2002) noted that it was not until 1996 that the first Hausa home video, '*Adawo Lafiya*' by Yusuf Mohammed was produced. There were also few non-major indigenous language films like '*Ugbeyin*' by Joe Dundun in Itsekiri in 1998; '*Ewemade*' and '*Eubakoe*' made in Edo in 1998 (Olagoke, 2002; Babawale, 2009).

According to Babawale (2009), the impact of indigenous languages films include presentation of such languages, propagation of culture (part of which is religion), encouraging learning of the languages, roles interpretation and enhancement of film's aesthetic value.

As noted by Danko (2001), there is a strong link between language, culture and social interaction in every given society. This perhaps may inform the extensive use of indigenous languages in Nigerian home videos and in ritualistic experiences (Ebewo, 2007).

### **Theoretical Framework**

This study is situated within cultural norms theory which holds that

“through selective presentation and tendentious emphasis on certain themes, the mass media created the impression among their audiences that such themes were part of the structure or clearly defined cultural norms of society” (Folarin 2005: 96).

In relation to this study, the portrayal of ritualism in Nigerian home videos becomes cultural representations which audiences may have either positive or negative impressions about. Although this study is not audience related, it reveals the presentation of media (home video) messages which audiences may pattern their beliefs, perceptions and behaviours on. Folarin (2005: 97) noted further that “in citing the theory, the critics of mass media tended to stress the potentially negative consequences of such media treatment of issues; while the exponents of the media stressed the potentially beneficial influences”. This, points to the seemingly divergent views on media representations.

## Method

Thirty indigenous language video films were randomly selected from the current films available on the video club shelves. Each video film was completely watched and analysed for the study but only twenty-two films have rituals depicted in them. Content categories were developed for the study including year of film, type of film, ritual contexts or locations, location design, day part, shooting set, ritualist gender and group, ritualist role or rank, ritualist age and costume, ritualist clientele, ritualist introduction/lead/link, purpose of rituals, instrument of rituals, medium of rituals, spiritual dimensions, ritual totems/objects, use/application and activation of rituals and duration of ritual scenes. Standard coding guide was also designed to ensure uniform coding of the variables. Scenes of rituals constitute the unit of analysis of the study. Standard coding sheets were obtained and used for the coding. The data gathered were then subjected to frequency count as well as percentages.

## Results

Thirty Yoruba home video films were watched for this analysis from which 46 cases of situations were recorded. Analysis shows that 52% of the films watched were produced between 2010 and 2012, while the production year of 47.8% of the films was not indicated. 58.6% of the films fall in tragedy category, 17.3% fall in epic and comedy categories apiece and 6.5% fall in tragic-comedy category. The rating of the films shows that 50% were rated NTTB, that is NOT TO BE BROADCAST, 28.2% rated 18+/adult category, 4.3% rated under 18 while 17.3% constitute the others category.

Most (180.4%) of the ritual cases took place during the day in video films while 19.5% of the rituals took place during the night in the video films. The shooting set was Interior in 80.4% cases and it was Exterior in 19.5% cases meaning that large majority of the rituals took place inside homes and took place outside the homes in about one out of every five cases. The analysis also considered the duration/time devoted to ritual depictions in the video films and threw up the data in the table below:

**Table 1: Depicting Duration of Rituals in Videos**

S/N	Time/Range	Frequency	%
1	Less than 60 seconds	6	13
2	Between 1 – 2 minutes	21	45.6
3	Between 2.1 – 4 minutes	11	23.9
4	Between 4.1 – 6 minutes	6	13
5	Between 6.1 – 10 minutes	2	4.3
6	10.1 – above	0	0
	<b>Total</b>	<b>46</b>	<b>100</b>

*Source: Content Analysis, 2013*

Table 1 shows that 45.6% of the ritual scenes lasted between 1 and 2 minutes, 23.9% of the ritual scenes occurred between 2.1 and 4 minutes, 13% ritual scenes also occurred in less than 60 seconds, 13% of the scenes also occurred between 4.1 and 6 minutes while 4.3% occurred between 6.1 and 10 minutes. Assuming the upper time limit for each of the time frame category, when added all together (for instance the less than 60 seconds appearance would be taken to have appeared in 60 seconds each or one minute each with frequency of six occurrences in all the films), totalling 6 minutes (in all) and 2 minutes duration would be taken to have occurred in 2 minutes each for about 210 occurrences totalling 42 minutes; 44 minutes total for 2.1 – 4 minutes; 36 minutes total for 4.1 – 6 minutes and 20 minutes total for 6.1 – 10 minutes. All of these add up to 148 minutes or 2 hours, 28 minutes. If each of the thirty films had the duration of one hour, this will amount to thirty hours or one thousand, and eight hundred minutes. Thus, 148 total minutes duration in the analysed video films will constitute 8.2% of the total air time. This may be rounded up, to say close to 10% of the air time of Yoruba home video offerings is devoted to ritual scenes or ritualism. From duration, the analysis turns to context or location of rituals. The table below features the findings:

**Table 2: Ritual Context/Location**

S/N	Location	Frequency	%
1	Coven	4	8.6
2	Home	3	6.5
3	Forest	5	10.8
4	Open field	6	13
5	T-junction	2	4.3
6	Shrine/sacred place in the home	25	54.3
7	Shrine/sacred place elsewhere	1	2.1
	<b>Total</b>	<b>46</b>	<b>100</b>

*Source: Content Analysis, 2013*

This table reveals that rituals occur 54.3% cases in shrines or sacred places in the home, had 13% occurrences in open fields, 10.8% occurrences in forests, 8.6% occurrences in covens, 6.5% occurrences in the homes, 4.3% occurrences at T-junctions and 2.1% occurrences at shrines or sacred places (elsewhere) outside the home. Contexts as market square, underground, tree-top, mountain, undersea and tomb/graveyard were removed because they did not record any occurrences. The table shows importantly that most African Traditional Religious rituals occur most frequently at shrines or sacred places in the home. Following this is the design of the location for rituals. In 50% of the cases analysed, ritual locations were designed with clothes and drawings, in 26.1% cases the location was left as natural (no design), in 8.6% cases apiece the locations were designed prominently with clothes and statues respectively while palm fond were used in designing the ritual set in 4.3% cases and decorated with pots and clothes in 2.1% cases. Often times creating eerie, fearful or awesome atmosphere appears to be the aim of the designs with skulls/bones, statues (idols) on display in ritual location designs. Related to these ritual locations is the costume of the supposed ritualist or main actor in the ritual setting. In 36.9% cases, ritualists appear in extra-mundane clothing or weird appearance, 34.7% appearance in normal clothing, 15.2% appearance in plain white clothing, 8.6% appearance in black clothes, 2.1% appearance in red clothes and another 2.1% appearance in black and red clothes. The costuming here buttresses the unspoken impression of weirdness, fear and awesome atmosphere. This shows or backs the notion that the place of worship in the African Traditional Religion (as in orthodox religions) is a place of fear where the physical merge with the spiritual. The study then consider the gender of the ritualists in the offerings and it shows that majority (71.7%) of the actor turn ritualist are males while only about a third (28.2%) are females. Likewise, the study considers the role or character or status assigned the ritualist in the home videos and the table below reveals the findings.

**Table 3: Ritualist Role/Status**

S/N	Role	Frequency	%
1	Chief Priest	2	4.3
2	Diviner	12	26.1
3	Spiritualist/Spiriticist	18	39.1
4	Herbalist	3	6.5
5	Consultant	2	4.3
6	Wife of Warrior	1	2.1
7	Warrior	4	8.6
8	Mother of Warrior	1	2.1
9	Others	3	6.5
	<b>Total</b>	<b>46</b>	<b>100</b>

*Source: Content Analysis, 2013*

Table 3 shows that ritualists were depicted as spiritualists/spiriticists in 39.1% cases or two out of every five situations, that is, individuals gifted with analysis of matters beyond the physical; they are depicted as diviners in 26.1% cases, that is, about a third of ten situations; depicted as warrior in 8.6%

cases, depicted as herbalists in 6.5% cases, depicted as chief priests and or consultants in 4.3% cases respectively; and as wife of warrior and mother of warrior in 2.1% cases respectively with other unclassified roles constituting 6.5%. Further to this, the study considers the ritualist group or apprentices since it is a vocation which sometimes features groups. The study reveals that in 82.1% cases, videos do not have group appearance but the ritualist was all by himself/herself, whereas in 8.6% cases the ritualist was with male apprentices, with female apprentices in 6.5% cases and with mixed group in 2.1% cases.

Considering the type of people portrayed as ritualists in home videos, the study attempts their age range. It shows that about six out of ten or three out of five (58.6%) are adults (age range of 35 – 50 years) while 26.1% are old adults (age range of 51 – 70 years); 13% are young adults (20 – 34 years) and 2.1% are teenagers (below 19 years). The aged (above 70) did not feature at all in the videos in this category. Since it takes two to dialogue, the study turns attention to the clientele of the ritualists to consider their characteristics. The study shows that men as individuals visited ritualists in 28.2% cases while women, as individuals visited ritualists in 26.1% cases. Combined, it means men and women as individuals visited ritualists or are involved as ritualist clientele or are involved in ritualism in 54.3% cases. Similarly, groups of men got involved in 4.3% cases, groups of women got involved in ritualism in 4.3% cases and groups of children got involved in 4.3% cases. Also groups of men and women (mixed) in 2.1% cases while man and friend got involved in 2.1% cases. Furthermore, the community as an entity got involved in ritualism in 6.5% cases, while only the ritualist(s) was involved in ritualism in 21.7% cases in which case it means rituals do not only take place for and on behalf of others; it may actually be for oneself. The figure here implies one-fifths of all situations where ritualism could be for the self and for the deity (ies) in question. What then is the status of the clientele? In 34.8% cases the ritualist clientele in home video belong in the medium socio-economic class (MSES) (more than a third); in 19.6% cases, the clientele belong in the commoner, the poor or the low socio-economic status (LSES) and in 17.3% cases, belong in the rich, opulent or high socio-economic status (HSES). Yet in 2.1% cases, the clientele belong in some other status and in 26.1% cases belong in groups not decipherable in the depictions. Who are these clients of the ritualists? The earlier analysis has shown that ritualism cuts across all the classes in the society and is not restricted to any particular group or gender. The clientele are individual males in 30.4% cases and are male groups in 4.3% cases – making 34.7% together; they are individual females in 28.2% cases and 4.3% female groups while they are groups (mixed) of males and females in 4.3% cases; they fall in others category in 2.1% cases while the gender variable is not applicable in 26.1% cases. The age range of the clientele include 41.3% for youthful, middle age/young adult; 30.4% for adults, 2.1% for teenagers and 2.1% for others category. Yet in some 23.9% cases, the age range variable was not applicable to the clientele. The study also turns to consider the relationship between the ritualists and their clientele and finds out that the clientele are in more than half (58.7%) of all the situations or about six out of ten or three out of five, are customers and acquaintances of the ritualist(s), the clientele is the community in 6.5% cases and outright stranger in 2.1% cases, a son in 2.1% cases, a relative in 2.1% cases, a friend in 2.1% cases, a mother in 2.1% cases, a father in 2.1% cases and others in 2.1% cases. This relationship variable is not however applicable in 21.7% cases. Thus, this variable shows glaringly that ritualists are not outright strangers in the human society but close acquaintances and relatives in the society. It further affirms that a pretence of their non-existence or non-knowledge of their existence is outright sham if indeed video is a slice of life, a reflection of reality. Again the study attempts a documentation of the link, lead or one who introduces the clientele to the ritualist. It reveals that it is a friend in 26% cases, a father in 2.1% cases and others in 4.3% cases, while it is not applicable/decipherable in 67.3% cases. This shows that friends, ahead of relatives are the leads and links to ritualists. This shows that individuals would tend to trust and believe their friends or peers in matters of rituals than relatives.

The study also focuses attention on the rituals and reveals the following starting with the purpose for which rituals are carried out. The table below reveals this:

**Table 4: Purpose of Rituals**

S/N	Purpose	Frequency	%
1	Evil	6	13
2	Health-related problem	2	4.4
3	Work-related problem	3	6.5
4	Relationship related problem	1	2.2
5	Marriage related	2	4.4
6	Issues of life generally	6	13
7	Communal good	2	4.4
8	Wealth/prosperity related	7	15.2
9	Protection/security related	11	23.9
10	Revenge	3	6.5
11	War/victory	3	6.5
	<b>Total</b>	<b>46</b>	<b>100</b>

Source: *Content Analysis, 2013*

Table 4 shows that rituals occur in Nigerian video films in 23.9% cases purposely for protection or security, in 15.2% cases for wealth or prosperity acquisition; in 13% cases for evil/evil machinations; in another 13% cases, it was purposely for issues of life generally; in 6.5% cases, it was for work related issues/problems, in another 6.5% cases, ritualism was for war victory. Similarly, ritualism in home video portrayal was in 4.4% cases purposely for health-related problems/issues, marriage (husband – wife) related issues, and communal good respectively. And lastly in 2.2% cases, it was purposely for relationship (singles/romance/unmarried) related issues. The study also consider instrument used in rituals and these include 41.3% use of spells, 13% use of staff or rod; 2.2% use of knife/matchet, and 2.2% use of rope, while some other non-decipherable instrument were used in 41.3% cases. The study also considers the medium of rituals as exhibited in the table below:

**Table 5: Medium of Rituals**

S/N	Medium	Frequency	%
1	Blood letting	5	10.9
2	Magic	4	8.7
3	Invocation	8	17.4
4	Incantation	15	32.6
5	Incision	3	6.5
6	Mirror	4	8.7
7	Others	7	15.2
	<b>Total</b>	<b>46</b>	<b>100</b>

Source: *Content Analysis, 2013*

Table 5 shows that incantations constitute a medium of rituals in over one-third (32.6%) cases; invocation followed with 17.4%, bloodletting constitute 10.9% while magic and mirror constitute 8.7% apiece and incision took 8.7%. Yet some unclassified others category constitute 15.2% as medium of rituals. The study then focus on the spiritual dimension explored in home videos and the findings are exhibited in the next table.

**Table 6: Spiritual Dimension**

S/N	Dimension	Frequency	%
1	Appearing	4	8.7
2	Disappearing	1	2.2
3	Natural	1	2.2
4	Supernatural	4	8.7
5	Diabolical means	17	36.9
6	Physical means	13	28.3
7	Speaking with the unseen	2	4.4
8	Appearing and disappearing	4	8.6
	<b>Total</b>	<b>46</b>	<b>100</b>

Source: *Content Analysis, 2013*

Table 6 shows that diabolical means (36.9%) and physical means (28.3%) are the major spiritual dimensions of rituals in Nigerian video films. Appearance/disappearance, supernatural and appearing constitute 8.7% apiece – while speaking with the unseen constitute 4.4% and disappearing as well as natural constitute 2.2% apiece. Follow up to this, the study consider the uses or activation (or application) of home video rituals and this include 52.1% activation of rituals on others and 36.9% activation on the self. Yet in 2.2% cases each, rituals are activated at work, at junctions/T-junctions and at forests while activation/application is not indicated in 4.4% cases. On a last note, the study concentrate attention on the totems and objects used in ritual scenes in Nigerian home videos and the findings are as indicated in the table below:

**Table 7: Ritual Totems/Objects Involved**

S/N	Totem	Frequency	%
1	Red cloth	12	26.1
2	Black cloth	3	6.5
3	White cloth	7	15.2
4	Sketches of skull and bones	3	6.5
5	Pots	3	6.5
6	Cowries	1	2.2
7	Statues	7	15.2
8	Palm oil	4	8.7
9	Calabash	4	8.7
10	Others	2	4.4
	<b>Total</b>	<b>46</b>	<b>100</b>

Source: *Content Analysis, 2013*

Table 7 shows that red cloth (26.1%) has the highest occurrence in home video ritual portrayals followed by white cloth and statues with 15.2% apiece. Calabash/pot/tambourine and palm oil have 8.7% appearance apiece, black cloth, sketches of skull and bones and pots has 6.5% showing apiece while cowries has 2.2% showing in home video ritual portrayals.

## Discussion

The results indicate that ritualism is significantly depicted in Nigerian indigenous language videos. Out of the 30 Yoruba home video films watched, 46 ritual scenes were found. This supports the submission of Okwori (2003) and Akpabio (2007) that ritualism is an important aspect of African traditional religion and it is one of the dominant themes portrayed in Nigerian movie industry. The cultural totems used, the spiritual dimensions and medium of rituals are embedded in African traditional religion (Kuwenda, 2007; Ebewo, 2007). For instance, 50% of the locations used for rituals were designed with red, black and white clothes, drawings as well as statues.

Ritualism was portrayed in complex range, involving various uses, dimensions, motives and identification. For instance, male ritualists constitute 71.4% while female ritualists constitute 28.2%. On the other hand, male ritualist clienteles were 34.7% while female ritualist clienteles were 32.5%

(others were not applicable). These show that males were stereotyped as ritualists but no gender stereotype or disparity exists in the portrayal of ritualist clientele.

Importantly, ritualism was portrayed as a panacea to solving life's numerous problems in the African way. The problems include protection and security (23.9%) wealth and prosperity (25.2%), issues of life (13%), victory in war (6.5%), work related (6.5%), health related (4.4%), marriage related (4.4%), amongst others. In all, the use of rituals for solving problems constitutes 80.5%. This finding corroborates the idea that every society mobilizes itself in some ways (ritualism in this case) to solve its broader societal problems (Uwah, 2011).

Although 13% of the rituals were for evil inclinations (e.g. to kill, to cast spell of mental disorder, to break marriages, etc), it cannot be concluded that the purpose of rituals is for evil. Its usage for evil inclination is only an application, which on other hand, can also be used or applied for good purpose, as seen in its usage for solving life's problems. Thus, this finding fails to support the criticism that Nigerian home videos place too much emphasis on negatives, part of which is ritualism (Alozie, 2010).

Finally, the study partially supports the cultural norm theory, which according to Folarin (2005), postulates that the mass media, through selective presentation and tendentious emphasis on certain themes, create the impression among their audiences that such themes were part of the structure or clearly defined cultural norms of society. Ritualism was emphasized and portrayed as core part of indigenous language home video films and as an important aspect of African traditional religion.

### Conclusion

This paper has established that ritualism is strongly portrayed in Nigerian indigenous language home video films, and it is depicted as a key part of African traditional religion. This is reflected in the elaborate use of African traditional totems like shrines, statutes, palm oil, drawings, clothes of special colours (e.g. red, black and white), and extra-mundane communication like incantations and diabolism.

The purpose of rituals is neither good nor evil. Ritualism itself is an application which can either be used positively or negatively. For example, 80.5% of all the rituals were used for solving problems while 13% was used for evil purposes, and 6.5% for revenge. All these are simply the uses of rituals. They do not mean that rituals are good or evil. It all depends on how it is used. Besides, what is 'good' in one clime may be 'evil' in another and vice-versa.

But whether good or evil, positive or negative, the use of rituals in Nigerian indigenous media serves the purpose of framing, reflection and identity construction of Nigerian society (Akpabio, 2007; Anoliefo, 2008 and Babawale, 2009). Hence, there is a need for home video producers to exercise caution in the presentation and emphasis of certain cultural themes.

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## THE NOBEL PRIZE AND CONNECTION BETWEEN SWEDEN, RUSSIA AND AZERBAIJAN

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### Abstract:

Few people know that the Nobel brothers- Alfred Nobel, Ludvig Nobel and Robert Nobel, lived in Baku and that they founded a factory there.

The Nobel's produced armaments for Russia and traded in kerosene. At the beginning of the 1870's Robert Nobel moved from Petersburg to Azerbaijan and took an interest in the oil<sup>111</sup> business. Later on this interest led his brothers to become part of this business and in 1879 they founded the "Nobel Brothers Company". This company's capital was originally 3 million manat (Azerbaijan's currency) however by 1916 it had increased to 45 million manat. This company met 20% of the petrol and 49% of the kerosene production in the whole of Russia.

"The Nobel Brothers Company" was first nationalized by the Baku Council of People's Commissars in 1918 and then by the government of Azerbaijan Soviet Socialist Republic in 1920.

Alfred Nobel's will and testament dated 27<sup>th</sup> November 1895 was read in Stockholm on 30<sup>th</sup> December 1896. According to this will, a foundation established by Alfred Nobel would reward those who serve humanity. It was determined that The Nobel Prize a prestigious award, would be given for this purpose.

The first Noble Prizes started to be awarded in 1901.

Approximately 12.4% of the prize money came from Alfred Nobel's own share of the Baku Nobel Brothers's Company which originally amounted to 31 million Swedish Kronor.

The study will examine the link between the Nobel Prize, Petersburg and Baku.

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**Key Words:** Nobel, prize, Baku, petrol

### The Nobel Prize and Connection Between Sweden, Russia and Azerbaijan

The Nobel Family established the most prestigious award in the world. The Nobel Prize has been awarded for achievements in physics, chemistry, medicine, literature and peace and funded by Alfred Nobel's personal fortune<sup>112</sup>. Alfred made a significant portion of his fortune from Azerbaijan-Baku petroleum. The family concerned themselves with Baku petroleum around the middle of the 19<sup>th</sup> century, and they constructed the first oil pipeline and oil tanker in the world.

With the establishment of oil fields and refineries around Baku in 1859, oil demand increased to unbelievable levels. Despite remaining in a limited geographical area, the effects of that increase led to very important changes. New employment areas were opened for the people who, up to that time, had been forced to make a living only with agricultural activities. In this way, the city became a metropolis, hosting a population coming to Azerbaijan from various countries in hope of work<sup>113</sup>.

Due to development of petrol industry, Baku became a big multinational city. Baku, having been a little port in Apsheron Peninsula in the middle of the 19<sup>th</sup> century, became the city with the highest population increase in the 1870s within the Tsardom of Russia. Thanks to the Azerbaijan-Baku oil fields, Caspian Sea trade areas, and Baku-Batumi railway and pipelines, the city along with Russia went into rapid development in the second half of the 19<sup>th</sup> century<sup>114</sup>. The rapid development of the town (where the total population was 14.000 in the mid-19<sup>th</sup> century) was entirely dependent on the growth in Baku's petroleum industry and the extension of relevant trade, industry, shipping, and transportation sectors.

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<sup>111</sup> Essad Bey, *Blood and Oil in the Orient*, New-York, 1932 p. 279-286

<sup>112</sup> Ulf Larsson, *Alfred Nobel Seti Innovasiy*, St.Petersburg, 2009

<sup>113</sup> Mahmud İsmailov, *Azerbaycan Tarihi*, Baku 1992, p.242-243

<sup>114</sup> Margaret Miller S. *The Economic Development of Russia 1905-1914*; London: 1926

During that period, the city was growing rapidly and embracing the towns, Kardeşir and Akşehir, where petroleum and factories were located. While the oil production increasing swiftly, there appeared a mercantile class delivering and selling Russian and European goods to villages, together with the working class.

Emergence of foreign and domestic investors is the key indicator of the developments brought by petroleum. Rich domestic investors played very important roles in Baku city life. This class, including Azerbaijan's domestic investors and bourgeoisies, contributed to the efforts of becoming a nation by supporting national cultural movement. Because of the obstacles set in front of them by Tsarist Russia, domestic investors did not have equal rights in commercial competition. That situation helped national consciousness shape up and increased social and cultural initiatives<sup>115</sup>.

At the beginning of the century, Baku was a major seaport and railway junction on the coast of the Caspian Sea. It played a significant role in commercial activities with Azerbaijan, Russia, and other foreign countries. Baku was generating at 85 percent of trading volume and 90 percent of total income in the whole Baku state. Not only the natural increase of population but also development of the industry led to the expansion of the cities. Cities and towns where industrial, commercial, and banking institutions were gathered became residences for workers and peasants arriving for work<sup>116</sup>.

Also, there were thousands of oil wells, hundreds of large and small factories and workshops, shipyards and other establishments in Baku. Many banks, important in the economic life of the community, had their Board of Directors situated in Baku. The international influence of Baku, one of the major oil producers of the world, increased very rapidly.

Cheap oil production provided small capital owners with the opportunity to invest in that industry. Introduction of new foreign technologies and creation of more advanced institutional structures facilitated emergence of large companies and centralization in the Russian oil industry.

Entrepreneurs, who were forced to spend large sums of money to buy oil fields, could not find required money for carrying on the growth of the oil industry, and therefore, they had to incur long-term debts. Developments showed that there was no possibility for the oil industry to grow without foreign capital. The need for foreign capital was arising from the Tsarist Russia's approach, which posed the biggest obstacle for entrepreneurship. While Tsarist bureaucracy facilitated all kinds of foreign activities in Russia, it hindered the country from developing itself.

In a period when Russia was in a financial crisis, there was capital formation, but not profitable investment areas in the West. At the time when Europe's capital opened up to foreign countries, investors turned towards Russia, especially towards Baku oil, where they could find more profitable investment areas.

The Nobel and Rothschild families were the leading representatives of foreign capital in Baku. Besides the innovations they brought to the oil industry, they also introduced a different understanding and new attitudes for investment<sup>117</sup>.

Robert Nobel, from Sweden, was the first foreign investor in Baku oil. In the beginning, he bought a small refinery in 1875 and founded his own company. Then, because of financial difficulties, that company was turned into "Tovarişestvo Neftyanogo Proizvodstvo Bratya Nobel" (the Nobel Brothers Petroleum Production Company) corporation on May 18, 1879<sup>118</sup>.

The Nobel brothers strived to own the whole petroleum industry in Russia. As well as playing a major role in the establishment of factories, the company held transport sector and almost all of the oil trade in domestic market. The Nobel brothers did not own oil fields since the foundation of the company, but dealt only with refinement/ liquidation. They did own 1517 dessiatines (dessyatine) land in 25 different oil regions (Bibiheybet, Ramana, Sabuncu, Maykop and Çeleken) in 1910. More than 1000 dessiatines of that land was used for oil production.

The Nobel brothers were leaders in entrepreneurship in Baku for the development of the oil industry. For transporting kerosene, which was high in demand especially in Russian market, they

<sup>115</sup> A.X.Djanahmedov, A.İ.Ahmedov, Alfred Nobel i Ego Premii i Bakinskaya Neft, Baku, 1997, p.45

<sup>116</sup> A.Ş.Şekeraliyev, Nobel Mükafatı Almış İktisatçılar ve Onların Nezeriyeleri, Baku, Elm, 2004, p.13

<sup>117</sup> Ulf Larsson, Alfred Nobel Seti İnnovasiy, St.Petersburg, 2009

<sup>118</sup> Ulf Larsson, Alfred Nobel Seti İnnovasiy, St.Petersburg, 2009

increased kerosene production and used new technological innovations for providing cheaper transportation. The Nobels had trade points, depots, and thousands of workers in Heşterhan, Çarçın, Saratov, Bobruysk, Nijni Novgorod and Perm for the purpose of trafficking and storing petroleum-by-products. Furthermore, they had agencies and depots in European cities such as Marseilles, Geneva, Hamburg, London and Manchester<sup>119</sup>.

Robert Nobel, the founder of the company, lived in Russia for many years and he earned all his fortune from the industrial and commercial activities he conducted in that country. It is remarkable that despite being Swedish, the Nobel brothers considered themselves as Russian investors and offered their capital as domestic capital. Also, in order to be regarded as a local company by Russian society, they sometimes gave Russian or local names to their oil tankers.

The Nobels were the first foreign oil industrialists in Baku. Immanuel Nobel was the leader of that Swedish family. Immanuel was born on March 24, 1801 in Hevel, Sweden. He studied architecture. Immanuel, the founder of Stockholm Institute of Technology, invented submarine mines when he was still in Sweden. Later, when his invention was noticed by the Russian Armed Forces, he went to Russia in 1837 upon the invitation of the Russian government.

In return for carrying out his work in Russia, he was paid 2500 pounds. After immigrating to Russia, he started manufacturing mines and similar technical equipment in his factory in St. Petersburg. During the Crimean War, between 1853 and 1856, he received record orders from the Russian government and equipped the Russian army with weapons and mines. Immanuel kept up with all the developments in science and engineering in the world. For example, he was interested in putting the driving force of small crafts into effect and developing crank motors. However, his investments did not turn out all right. As orders cut down after the war, Immanuel had to postpone his studies/work. Then, when he could no longer pay off his debts, he was forced to shut down his factory and return to Sweden. In Sweden, he opened a new small factory with his sons for producing explosives. When he died in 1872, his family had almost no money.

Immanuel had four sons named Emil, Ludwig, Robert and Alfred Nobel. Emil, the youngest one, died at the age of 28 while experimenting with [nitroglycerine](#) in his father's factory in [Heleneborg, Sweden](#). Four more workers were killed in the same explosion. Alfred was an engineer and inventor. Robert was the first one in the family who pointed out the trade opportunity in Baku. Ludwig was one of the major actors in the Russian oil industry<sup>120</sup>.

Alfred was born on October 21, 1833 and studied in St. Petersburg. He concerned himself especially with chemistry. After his critical studies, under the guidance of famous Russian academician Zinin, he worked in foreign laboratories and conducted very successful studies in the field of applied chemistry. He was titled as “honoris causa” doctor of chemistry. He became one of the most productive investors. The Nobels paid attention to safe use of [nitroglycerine](#), discovered by [Sobrero](#) in 1845. After the death of his brother Emil in a [nitroglycerine experiment](#), Alfred devoted himself to the invention of a new explosive. He started working to produce that explosive with his father and brothers in Krummel around Hamburg. After three years of working non-stop, he named his invention dynamite<sup>121</sup>.

The family name became associated with their inventions, smokeless powder and dynamite, all over the world<sup>122</sup>. The entire explosive manufacturing in the world was under Alfred Nobel's supervision. However, Alfred's inventions did not serve only for the purpose of peace. Dynamite, which caused holocausts, made Alfred regret and feel deep sadness for his invention. He died in Italy on December 10, 1896. A year before his death he signed his last will and testament<sup>123</sup> in Paris. His will specified that his fortune be used to establish international awards in physics, medicine, chemistry, literature and peace. First prizes were awarded in Oslo, Norway and in Stockholm Sweden as Alfred wished. Alfred Nobel allocated 30 million crowns for the creation of the reward system. A 5.200.000 crown of that money was the income gained from Baku oil.

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<sup>119</sup> Ulf Larsson, Alfred Nobel Seti İnnovasiy, St.Petersburg, 2009

<sup>120</sup> Robert W.Tolf, The Russian Rockefellers, Stanford, California, 1976, p.2-22

<sup>121</sup> Ulf Larsson, Alfred Nobel Seti İnnovasiy, St.Petersburg, 2009

<sup>122</sup> Henrik Schück and Ragnar Sohlman, Nobel, Dynamite and Peace, New - York, 1929, s. 14-15

<sup>123</sup> For Alfred Nobel's Testament: [http://www.nobelprize.org/alfred\\_nobel/will/will-full.html](http://www.nobelprize.org/alfred_nobel/will/will-full.html), 01.02.2013

Robert Nobel (1829-1890), Immanuel Nobel's other son, was born on August 4, 1829 in Stockholm and studied there. When his father returned to Sweden, Robert left Russia, too. He went back in 1860 and established a [nitroglycerine](#) factory in Finland. Finland parliament prohibited their work because of the accidents that occurred frequently in the course of explosive manufacturing. When Robert returned to Sweden, he gained a footing in his father's and brothers' nitroglycerin work. Robert did go to St. Petersburg in 1870 on the invitation of his brother Ludwig. Ludwig made a security agreement for rifle production in Izhev. The main problem was the question of whether a tree grown in Caucasus in sufficient amounts could be used for rifle production instead of imported trees. That situation required the discovery of forests, construction of special board saws, finding suitable locations, cheap water rages, and reopening closed factories or mills<sup>124</sup>.

Robert was the one who was responsible for realizing the Trans-Caucasus projects. However, he came across troublesome problems during his Caucasus trip: Their timber project was collapsing. When he went back to St. Petersburg in 1873, he noticed the importance of the oil industry. While he had been going to Baku through Iran, he noticed Baku's oil potential and desired to start a business in that industry. Robert persuaded his brother Ludwig to go in for a small petroleum investment and then made his way to the Caucasus again. In 1875-76, he took the lead in work. Robert believed that oil industry was a big opportunity for the future. In 1875 he bought a small refinery in Karaşehir by paying 1000 pounds to the Tbilisi Company. By restructuring the company, he also changed the perspective towards oil<sup>125</sup>.

For a long time, Ludwig did not believe that his brother Robert would succeed in Baku<sup>126</sup>. However, a telegram sent by Alfred from Paris completely changed his mind. Paris was one of the most important business centers of the time. As in other big European cities, there were long discussions and scandals in the Paris stock exchange. Baku oil was the center of the discussions. The business community and finance sector in Paris had great interest in Baku oil. Alfred Nobel, of course, could not stay indifferent to those discussions. He told Ludwig in his telegram that the Paris business community was speaking about Baku oil and that the Rothschilds was sending their hired men to the area to take possession of the best fields. Moreover, he mentioned that they themselves should enter into that business without delay. He also stated that he would be ready to provide as much money as required for such a move<sup>127</sup>.

After ensuring the safety of a few oil fields, they started gaining large amounts of money. Robert recognized that there were problems regarding oil transportation and transferring crude petroleum with barrels from Balahani to the refinery. That process was progressing slowly and it was very expensive. Although other companies were opposed to the idea, Ludwig had to realize the pipeline project.

In his article "Overview of Baku Oil Industry" Ludwig Nobel stated that transportation of crude oil was very expensive, as domestic industrialists were conveying petroleum with carriages. Even for short distances, people had to pay 2-10 kopeks per *pood* for a barrel of 20 *poods*<sup>128</sup>. In this way, transportation cost would be ten times higher than the product. Ludwig saw that issue as a problem. Therefore, he was trying to find new ideas and to implement contemporary methods in order to increase economic yield. That would also be a significant step towards technical progress.

As oil transported with carriages was not sufficient for the Nobels, they came up with the idea of installing a pipeline going from wells to factories. The pipeline installed from Balahani to Karaşehir costed 10.000 pounds. Thousands barrels of oil were conveyed through that pipeline and the family made an annual profit of 150.000 pounds. That reform caused indignation of oil carriers. Thousands of carters and barrel makers went on strike with the demand that the pipeline be removed. Numerous control towers and structures were built in case the pipeline would be cut. Also troopers were protecting the pipeline day and night. When other industrialists witnessed the increase in efficiency, they attached priority to oil pipelines. Suppliers started delivering oil products by train and

<sup>124</sup> Robert W.Tolf, *The Russian Rockefellers*, Stanford, California, 1976, p.2-22

<sup>125</sup> Ulf Larsson, *Alfred Nobel Seti İnnovasiy*, St.Petersburg, 2009

<sup>126</sup> "Kommunist" Newspaper, D.Bünyazdzade "Azerbaycan Neft Sanayisinde Bolşevik Dönüşü Uğrunda", October, 1930, no: 229

<sup>127</sup> Ulf Larsson, *Alfred Nobel Seti İnnovasiy*, St.Petersburg, 2009

<sup>128</sup> Pud –1 pud=40 funt=16,38kg. ACE Azerbaijan Soviet Encyclopedia, VIII. Baku, 1984, p. 40

oil tankers through Russia to Central Asia and Europe. Moreover, they installed a pipeline from Baku oilfields to the Caspian Sea in 1879.

Kerosene was not suitable for transportation in barrels. Because of the difficulty of replacing petroleum-filled barrels, it was not possible to make use at full capacity. Therefore, kerosene prices were going up and could be sold at high prices. Ludwig Nobel was the one who realized oil shipment by sea. Their oil tanker, built in Motala Shipbuilding Yard in Sweden according to Ludwig's own drawings in 1877, was named "Zoroaster". That oil tanker was brought to the Caspian Sea and assumed the title of the first oil tanker of the world. After the success of their first tanker, the Nobel brothers formed an oil tanker fleet and gave names such as "Moses", "Spinoza" and "Darwin" to other tankers. Following the Nobel brothers, other oil investors solved transportation problem with oil tankers built in Sweden<sup>129</sup>.

The transport of oil to long distances and foreign countries was a problem. Ludwig Nobel thought that oil could be carried with ships (oil tankers) similar to a "canoe". Such an oil tanker, with the capacity of 3000 tons of water, would come up to 9000 barrels and it would provide 180 rubles savings for transportation. Furthermore, in two or three seasons, it would pay for itself.

For bringing oil production into technical perfection, the Nobel Brothers firstly changed or removed the primitive techniques which had already been in use. In other words, they turned Baku oilfields into laboratories. They established chemical laboratories firstly in Baku, then in St. Petersburg<sup>130</sup>. Of course Alfred Nobel, the chemist in Sweden, made great contributions to those studies. Every new innovation was applied at mines and factories. In that way, the Nobel brothers' company was able to provide 20% of oil production and 40% of kerosene production at the end of the century<sup>131</sup>.

The Baku port became a major business and trade port in cargo handling and oil shipment. However, a far amount of kerosene was required for activating such a fleet. Kerosene was a very valuable fuel. Therefore, Ludwig was considering using diesel oil, and so, he wrote a letter to his brother Alfred asking to provide him with precise information on diesel. Later, Alfred informed Ludwig that diesel would be very valuable in the near future and if it was cheap in Baku, he should build reservoirs without delay and fill them with diesel. He believed that diesel would bring-in large amounts in five to ten years. After a while, they started using a new fuel for tankers. There was hundreds of thousands poods of diesel oil stored up in Nobel facilities extending from Baku to Idyll and it found lots of buyers in the market.

The Nobels made a profit of 9.4 million rubles from 1902 to 1904 on a capital of 15 million rubles. The income received from oil by foreign investors increased rapidly and reached 50% of the country's total revenue in 1913.

In 1882 the Nobel Family invited technical teams from Finland, Sweden, Norway and Germany to Baku and created a colony called "Villa Petrolea" in Karaşehir, which is still called by that name today.

The symbol of the Nobel Brothers Petroleum Company was created by taking inspiration from the Fire Temple (Atashgah) in Surakhani. It is also remarkable that the Nobels gave some religious and philosophical names (such as Zoroaster, Muhammad, Buddha, Brahma, Socrates, Spinoza and Darwin) to their oil tankers. Moreover, religious ceremonies were organized in their factories, which lasted for days and workers were given leave on these days. That fact shows that the Nobels did respect different religions and traditions.

The company celebrates their achievements, regarding innovations in the oil industry and the profit achieved through these innovations, in different ways: Silver plaques were coined to commemorate the first billionth pood (36.11 pounds) of oil extracted from Baku and they now symbolize that memory in the Azerbaijan oil industry.

#### **A Ship Under The Name Of Zoroaster**

In 1918, the Nobel family partially settled in Stockholm. As there was no more petroleum, the Nobels sold the company to their European partners. In April 1920, in the course of the big crisis that

<sup>129</sup> Ulf Larsson, Alfred Nobel Seti İnnovasiy, St.Petersburg, 2009

<sup>130</sup> James Mavor, An Economic History of Russia, London, J.M.Dent, 1914

<sup>131</sup> Robert W.Tolf, The Russian Rockefellers, Stanford, California, 1976, p.2-22

occurred in a few months after Red Army's entry into Baku, half of the company shares were sold to Standard Oil in New Jersey<sup>132</sup>. Gösta Nobel, the youngest son of Ludwig, was the one who took charge of the negotiations in New York. In that way, he secured the future of the family in terms of economy.

Actually, Azerbaijani people are proud of the Nobel Prize, which is one of the most important awards in the world. A good part of the activities conducted by the Nobel Family and by Alfred Nobel are related to Azerbaijan. However, in Europe, it is not possible to find much information on the Nobel Family's efforts/work. Recently, the Norwegian Nobel Institute has announced, with documents, that the family conducted most of their work in Azerbaijan, especially in the Baku oil fields.

The Nobel Prize Award Ceremony occurs every year in Stockholm, with the attendance of the Swedish Royal Family.

All these details indicate that the Nobel family was sensitive towards Azerbaijan and they gave importance to doing business in a different geographical area<sup>133</sup>.

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 Gilman İlkin, *Şahsiyet*, Bakü, "Şur" Neşriyatı, 1995

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<sup>132</sup> **Standard Oil Company, Standard Oil** was a predominant American integrated oil producing, transporting, refining, and marketing company. Established in 1870 as a corporation in Ohio, it was the largest oil refiner in the world and operated as a major company trust and was one of the world's first and largest multinational corporations until it was broken up by the United States Supreme Court in 1911.

John D. Rockefeller was a founder, chairman and major shareholder. Standard Oil had significant success, and many people believe that it out-competed many of its rivals with lower costs and efficient production and logistics. With the profits, Rockefeller became the richest man in modern history. Standard Oil was also criticized by some for its aggressive pricing and business techniques. Other notable Standard Oil principals include Henry Flagler, developer of Florida's Florida East Coast Railway and resort cities, and Henry H. Rogers, who built the Virginian Railway (VGN), a well-engineered highly efficient line dedicated to shipping southern West Virginia's bituminous coal to port at Hampton Roads.

<sup>133</sup> Gilman İlkin, *Şahsiyet*, Bakü, "Şur" Neşriyatı, 1995, p. 73-86

## **DIFFERENCES OF TELEWORKERS' ATTITUDES TOWARDS THE BENEFITS AND DRAWBACKS OF TELEWORKING IN NATIONAL LIBRARY AND ARCHIVES OF I.R. OF IRAN**

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### **Abstract:**

Information and communication technology has had some effects on the different aspects of living, like working ways. One of these effects is to work anywhere, far away office and without geographical limitation. This working method has benefits and drawbacks that can affect on its performance and its continuity in organizations and offices. This article has surveyed the viewpoints of teleworkers in Department of Information Processing in National Library and Archives of I.R. of Iran. It has also explored the difference of points of view of teleworkers base on their demographic information as working group, marital status and the kind of Internet access.

**Keywords:** teleworking, telecommuting, teleworking in libraries, teleworkers, telecommuters, advantages and disadvantages, National Library and Archives of I.R. of Iran, Department of Information Processing

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**Key Words:** Teleworkers, Teleworking, National archive and library

### **Introduction**

The development of Information and communication technology (ICT) has affected on and changed life style and the ways of working. One of these changes is working without geographical limitation; it is called teleworking (telecommuting). Teleworking is a choice about working way that permits employees to work from home, a telecentre or a place with technological facilities near home. It is characterised by moving the work to workers, instead of workers to work (Blake, 1999, p. 1).

The practice of teleworking has some benefits and advantages for both employees as teleworkers and employers. In addition, it can provide some disadvantages and drawbacks for two groups that may affect on the execution of teleworking or cause defeat. As numerous researches listed benefits and drawbacks of teleworking according to teleworking employees' and employers' viewpoints, this research investigates the differences of teleworkers' attitudes towards the benefits and drawbacks of teleworking in Department of Information Processing in National Library and Archives of I.R. of Iran.

### **Literature review (Research literature and surveys)**

Analyzing the published studies and literature of teleworking demonstrates there are 2 groups of studies. Some studies have done before the performance of teleworking and mentioned theoretically basis of teleworking (like as Atkyns et al. 2002; Morgan 2004; Miller 2011). Other studies are in form of surveys of teleworkers and their managers about teleworking before and after teleworking to know their viewpoints about it (such as Johanson 2007; Rasmussen and Corbett 2008; Lavalee 1993 in Mills et al. 2001; Major, Verive, and Joice 2008; Kitsap Regional... 2009; Cheuk Fan Ng 2010; Demas 2011).

### **Teleworking in Iran**

June 2010, Iranian teleworking regulation for government teleworking employees in 17 articles was ratified and sent to Iranian state organizations. Since, the government organizations were charged to perform teleworking for works that are appropriate for this kind of working. According to regulation text, the goals of teleworking were increasing in productivity, work flexibility, and reduction of commuting. There was a committee in any organization to choose suitable works for teleworking. So, teleworking started experimentally in some organizations and administrations.

Eventually, the Government ordered in 2011, about 20% of activities in state organizations was done by teleworking.

Having said that a part of libraries and information centers in Iranian government organizations and administrations have performed teleworking. As a result of teleworking performance, some librarians have been chosen and sent to work at home. There is no report to show the quality and quantity of teleworking in these centers, except National Library and Archives of I.R. of Iran (NLAI).

### **Teleworking in National Library and Archives of I.R. of Iran**

The kind of teleworking in NLAI is home-based telework and part time so that teleworkers telework at home 2 days or more. NLAI has a workgroup to settle teleworking. According some forms, jobs which can be performed without physical presence are recognized and present for teleworking. A virtual private network (VPN) for information security and also necessary programs and software has been set on teleworkers' computers and been gave to teleworkers with a modem. NLAI suggested teleworkers to have an Internet access with one of the common ones in Iran: WiMAX<sup>134</sup> or ADSL<sup>135</sup> with 512 GB. The Internet costs were monthly withdrawn to teleworkers. They were not given desk and chair. Teleworkers have to work in office hours and teleworking in NLAI is not flexitime.

Some computer experts answer teleworkers' technical questions and problems through phone. For communication with managers and colleagues, teleworkers use Office Communicator System from Microsoft or telephone and they are informed about announcements from NLAI intranet. They had a short time education to connect and use NLAI virtual network. Teleworkers are periodically assessed by their managers and annual assessment reports are sent to the Directorate of Management Development of the President of Iran (Tahavori, 2013).

Since April 2012, 106 employees in NLAI from 3 directorates have been teleworkers: National Library Directorate (79 employees), National Archives Directorate (25 employees), and Support Department (2 employees). After 6 months, some teleworkers, whose work did not matched with teleworking, came back to organization and their teleworking was stopped (Tahavori, forthcoming).

### **Teleworking in Department of Information Processing of NLAI**

From the beginning, most of the teleworkers in NLAI were from National Library Directorate (79 employees) and among them, 60 employees were from the Department of Information Processing, one of the departments of National Library Directorate, as according to researches, their sort of work was adapted to teleworking, they continued to telework. This department includes four groups: book cataloging, non-book cataloging, authority, and journal indexing group and teleworkers are from 3 first groups. Until June 2012, 40 employees from book cataloging, 10 employees from non-book cataloging, and 10 employees from authority group went to telework.

The essential work tool in these groups is "RASA library software" and the most of work volume in book cataloging and authority group is focused on electronic CIP which base on publishers send electronic files of books to receive CIP. Teleworkers in this department edit and correct bibliographic records and authority banks, the same as activities mentioned in researches throughout the world as teleworking in libraries. Some necessary sources for teleworkers have been scanned and put in shared NLAI network. The days when teleworkers come to organization, they can check the information that needs printed sources.

### **Research objectives and questions**

This research aims to determine if teleworkers have different attitudes about the benefits and drawbacks of teleworking on the basis of their demographic information as working group, marital status and the kind of Internet access.

- 1) Is there any attitude difference among teleworkers in 3 work groups (book cataloging, non-book cataloging, and authority group) about benefits of teleworking?

<sup>134</sup> Worldwide Interoperability for Microwave Access (WiMAX)

<sup>135</sup> Asymmetric Digital Subscriber Line (ADSL)

- 2) Is there any attitude difference among teleworkers in 3 work groups (book cataloging, non-book cataloging, and authority group) about drawbacks of teleworking?
- 3) Is there any attitude difference between married and unmarried teleworkers about benefits of teleworking?
- 4) Is there any attitude difference between married and unmarried teleworkers about drawbacks of teleworking?
- 5) Is there any attitude difference between teleworkers who use WiMAX or ADSL about benefits of teleworking?
- 6) Is there any attitude difference between teleworkers who use WiMAX or ADSL about drawbacks of teleworking?
- 7) Is there any difference between teleworkers' satisfaction and marital status of teleworkers?
- 8) Is there any difference between teleworkers' satisfaction and the kind of Internet they use (WiMAX or ADSL)?

### Methodology

Teleworkers in the Department of Information Processing of NLAI were asked to answer a series of 31 benefits and 31 drawbacks of teleworking collected from published studies and online surveys. They were also asked to show their satisfaction from teleworking. Each item's importance was recorded on a six point Likert scale, where a six indicated very much and a one indicated never. Demographic data of respondents were also collected to identify working group, marital status, and the kind of Internet access (WiMAX and ADSL). The questionnaires have been distributed and gathered June 2012. Then, the data have been analyzed by using inferential statistical: t-test, Analysis of Variance (ANOVA) and Mann-Whitney U test in SPSS 18.

### Findings

As the data of table 1 show the population is 60 teleworkers includes 40 teleworkers from book cataloging, 10 teleworkers from non-book cataloging and 10 teleworkers from authority group. The marital status shows that 13 teleworkers (21.7%) are unmarried and 47 teleworkers (78.3%) are married. The kind of Internet access the teleworkers use is WiMAX (28.3%) and ADSL (71.7%).

**Table 1. Demographic information of teleworkers in Department of Information Processing of NLAI**

		N	percent
<b>work group</b>	book cataloging	40	66.7
	non-book cataloging	10	16.7
	Authority	10	16.7
<b>marital status</b>	unmarried	13	21.7
	Married	47	78.3
<b>Kind of Internet</b>	WiMAX	17	28.3
	ADSL	4	71.7

According to the first part of this research (as mentioned in Tahavori, forthcoming), the results revealed that all of the benefits items received mean number of more than arithmetic mean (3.5). On the opposite side, all of the disadvantages items received mean number of less than arithmetic mean, except 2 items.

The most important benefits of teleworking reported by respondents were "having informal clothes" (5.78), "reducing commute time" (5.7), "satisfaction of having more time with family" (5.37), "safe work environment at home" (5.25), "more control on work" (5.18), "better organization of work" (5.13), "increase in energy to work" (5.12), "reduction of off for sickness" (5.08), "reduction of commuting costs" (5.08), and "less interruptions from co-workers" (5.07). On the contrary, according to respondents, the less important benefits of teleworking were "increase in computer skills" (3.95) and "increase in time of study" (3.85). Also, the item "improvement in income" with mean number

3.48 was less than arithmetic mean and showed that teleworking did not help employees to have better income (table 1 in appendix).

As mentioned, the most important drawbacks of teleworking to respondents were "low speed of RASA software" (4.87) and "low speed of Internet" (4.03) (table 2 in appendix). These items are the most essential problems that have been pointed in many researches as "lack of convenient facilities and necessary technical infrastructures in teleworking places" (Abdal-Wahab 2007; Heijstra and Rafnsdottir 2010; Lavalee 1993 in Mills et al. 2001), and it can affect on the performance and continuity of teleworking in organizations.

Another problem which most of the respondents indicated in open questions of questionnaire was that teleworking in NLAI was not flexitime. One of the best advantages of teleworking pointed in researches is to have flexitime and documents show that teleworking, in a kind of way, is flexible in the most of countries throughout the world. 93.3% respondents wanted to have flexitime and thought it helped to the speed of RASA software and Internet, because there would be fewer users in usual work time (Tahavori, forthcoming). As most of the teleworkers in Department of Information Processing were from two groups of book cataloging and authority group and their major work was doing electronic CIP, they had less time to do their work (doing CIP in two days) and also need lower speed of Internet.

Despite drawbacks mentioned by respondents, the rate of their satisfaction was great (5.53) (table 3 in appendix). This satisfaction showed that advantages and benefits of teleworking in this department of NLAI outshined its disadvantages and drawbacks.

In the present paper, the purpose is to describe the differences of teleworkers' attitudes towards the benefits and drawbacks of teleworking base on their demographic information as working group, marital status, and the kind of Internet access. So, there are 8 research questions to reach this purpose.

**Question 1:** Is there any attitude difference among teleworkers in 3 work groups (book cataloging, non-book cataloging, and authority group) about benefits of teleworking?

To answering this question, ANOVA is used. The results show that there is a difference among viewpoints of respondents in the perceived importance of the benefits of teleworking based on 3 work groups ( $f = 3.28$  and  $Sig = 0.04$ ) (table 2).

**Table 2. The results of ANOVA test for comparing of difference of attitudes of 3 work groups about teleworking benefits**

variable		Sum of Squares	df	Mean Square	F	Sig.
teleworking benefits	Between Groups	5294.475	2	2647.237	3.286	0.045
	Within Groups	45926.375	57	805.726		
	Total	51220.850	59			

Also, the result of Scheffe test for comparing the means show significant difference among 3 groups. Book cataloging group respondents have the most mean number (152.2250) and non-book cataloging ones have the least mean number (126/5000). The authority group teleworkers are in the middle (146/9000) (table 3).

**Table 3. Findings of Scheffe test for comparing of difference of attitudes of 3 work groups about teleworking benefits**

work group	Mean
book cataloging	126.5000
non-book cataloging	146.9000
Authority	152.2250

**Question 2:** Is there any attitude difference among teleworkers in 3 work groups (book cataloging, non-book cataloging, and authority group) about drawbacks of teleworking?

To handling this question, ANOVA is also used. The findings illustrate that there is no difference among viewpoints of respondents in the perceived importance of the drawbacks of teleworking based on 3 work groups ( $f= 0.374$  and  $Sig = 0.68$ ) (table 4). So, teleworkers' assessments about disadvantages of teleworking in NLAI are the same and there is no difference.

**Table 4. The results of ANOVA test for comparing of difference of attitudes of 3 work groups about teleworking drawbacks**

variable		Sum of Squares	df	Mean Square	F	Sig.
teleworking drawbacks	Between Groups	437.208	2	218.604	0.689	0.374
	Within Groups	33295.775	57	584.136		
	Total	33732.983	59			

**Question 3:** Is there any attitude difference between married and unmarried teleworkers about benefits of teleworking?

To answering this question, independent samples t-test is used. The results depict that there is no difference between attitudes of married and unmarried teleworkers about benefits of teleworking ( $t = 0.02$  and  $Sig = 0/97$ ). The comparison of means in two groups, unmarried (146.8462) and married (147.1064) respondents points that there statistically is no meaningful difference (table 5).

**Table 5. The findings of t-test for comparing of difference of attitudes of unmarried and married teleworkers about teleworking benefits**

variable	marital status	N	Mean	Standard Deviation	t-test	Sig.
teleworking benefits	unmarried	13	146.8462	23.53666	0.02	0.97
	married	47	147.1064	31.12823		

**Question 4:** Is there any attitude difference between married and unmarried teleworkers about drawbacks of teleworking?

The results of independent samples t-test present that there is also no difference between attitudes of married and unmarried teleworkers about drawbacks of teleworking. ( $t = 0.13$  and  $Sig = 0/89$ ). The comparison of means in two groups, unmarried (71.3848) and married (72.4043) respondents indicate that there statistically is no significant difference (table 6).

**Table 6. The findings of t-test for comparing of difference of attitudes of unmarried and married teleworkers about teleworking drawbacks**

variable	marital status	N	Mean	Standard Deviation	t-test	Sig.
teleworking drawbacks	unmarried	13	71.3846	25.92148	0.13	0.89
	married	47	72.4043	23.61803		

**Question 5:** Is there any attitude difference between teleworkers who use WiMAX or ADSL Internet access about benefits of teleworking?

To answering this question, independent samples t-test is also used. The results reflect that there is no difference between attitudes of teleworkers in the perceived importance of the benefits of teleworking based on their kind of Internet access ( $t = 0.79$  and  $Sig = 0.42$ ). The comparison of means in two groups, teleworkers who use WiMAX (151.8824) and the ones who use ADSL (145.1395) illustrate that there statistically is no meaningful difference (table 7).

**Table 7. The findings of t-test for comparing of difference of attitudes of teleworkers based on Internet access about teleworking benefits**

variable	Internet access	N	Mean	Standard Deviation	t-test	Sig.
teleworking benefits	WiMAX	17	151.8824	24.61169	0.79	0.42
	ADSL	43	145.1395	31.23458		

**Question 6:** Is there any attitude difference between teleworkers who use WiMAX or ADSL Internet access about drawbacks of teleworking?

The results of independent samples t-test show that there is no difference between attitudes of teleworkers in the perceived importance of the drawbacks of teleworking based on their kind of Internet access ( $t = 0.80$  and  $Sig = 0.42$ ). The comparison of means in two groups, teleworkers who use WiMAX (68.2353) and the ones who use ADSL (73.7442) points that there statistically is no significant difference (table 8).

**Table 8. The findings of t-test for comparing of difference of attitudes of teleworkers based on Internet access about teleworking drawbacks**

variable	Internet access	N	Mean	Standard Deviation	t-test	Sig.
teleworking drawbacks	WiMAX	17	68.2353	23.78164	0.80	0.42
	ADSL	43	73.7442	24.06053		

**Question 7:** Is there any attitude difference between teleworkers' satisfaction of teleworking and the marital status?

To answering this question, Mann-Whitney U test is used. The findings specify that there is no significant difference between attitudes of married and unmarried teleworkers ( $Z = 0.577$  and  $Sig = 0.564$ ). The comparison of means in two groups, unmarried (27.92) and married (30.59) respondents is confirmatory to this claim (table 9).

**Table 9. Results of Mann-Whitney U test for comparing of difference of attitudes of unmarried and married teleworkers about teleworking satisfaction**

variable	marital status	N	Mean	test	Sig.
satisfaction of teleworking	unmarried	13	27.92	0.577	0.564
	married	47	30.59		

**Question 8:** Is there any attitude difference between teleworkers' satisfaction of teleworking and the kind of Internet access they use (WiMAX or ADSL)?

The results of Mann-Whitney U show that there is no difference between attitudes of teleworkers who use WiMAX and the ones who use ADSL ( $Z = 0.437$  and  $Sig = 0.66$ ). The comparison of means respondents who use WiMAX (29.51) and who use ADSL (31.03) depict that there statistically is no significant difference (table 10).

**Table 10. Results of Mann-Whitney U test for comparing of difference of attitudes of teleworkers based on Internet access about teleworking satisfaction**

variable	Internet access	N	Mean	test	Sig.
satisfaction of teleworking	WiMAX	17	28.15	0.616	0.538
	ADSL	43	30.75		

### Conclusion

As the finding of teleworkers' conceptions about advantages and disadvantages of teleworking in Department of Information Processing in National Library and Archives of I.R. of Iran revealed, they had positive conception about teleworking in this department. Although they had some problems to perform teleworking at homes, just 2 teleworking disadvantages were important for them, low speed of RASA software and low speed of Internet.

As previous studies have indicated that cataloging is the most common activity in libraries that was done in the form of teleworking (Klepfer 1997 cited in Prati 2002, 25), book cataloging teleworkers demonstrated more mean number than others for benefits of teleworking (152.2250). In comparison, the assessment of teleworkers' conceptions about drawbacks of teleworking was similar in 3 groups (book cataloging, non-book cataloging and authority).

Based on the assumption that teleworking is a way to help married people to have more balanced life style, teleworkers' conceptions were compared. The findings revealed that benefits and drawbacks of teleworking were nearly identical for 2 groups, married and unmarried teleworkers. Even though the number of married teleworkers is more than unmarried ones and it seems that teleworking should be more important for them, their attitudes were the same as unmarried teleworkers. Maybe it is because that teleworking had affected on 2 teleworker groups in the same portion. As shown in table 9, there is no difference of opinion between married and unmarried teleworkers towards their satisfaction of teleworking. So, teleworking in NLAI has nearly attracted both, married and unmarried teleworkers, in the same rate.

The comparison of the effect of the kind of Internet access that teleworkers used on their attitudes towards benefits and drawbacks of teleworking revealed no significant difference. Therefore, it seems these 2 accesses, WiMAX and ADSL, had no effect on teleworkers' viewpoints. As a consequence, the teleworkers who used WiMAX had equal viewpoints with teleworkers who benefited from ADSL. In addition, these access have not affected on the most important drawbacks of teleworking in this study, means "low speed of RASA software" and "low speed of Internet". So, we can say that two kinds of Internet access had the same services and facilities.

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## Appendix

Table 1. Frequencies and percents of benefits of teleworking reported by respondents  
(Numbers in parentheses are percentages)

Benefits	very much	much	middle	low	very low	never	Mean
having informal clothes	50 (83.3)	8 (13.3)	1 (1.7)	1 (1.7)	0	0	5.78
reducing commute time	45 (75)	13 (21.7)	1 (1.7)	1 (1.7)	0	0	5.7
satisfaction of having more time with family	33 (55)	20 (33.3)	5 (8.3)	1 (1.7)	0	1 (1.7)	5.37
safe work environment	35 (58.3)	14 (23.3)	5 (8.3)	4 (6.7)	1 (1.7)	1 (1.7)	5.25
more control on work	30 (50)	17 (28.3)	11 (18.3)	0	0	2 (3.3)	5.18
better organizing of work	31 (51.7)	15 (25)	11 (18.3)	0	0	3 (5)	5.13
increase in energy to work	28	17	13	0	0	2	5.12

<b>Benefits</b>	<b>very much</b>	<b>much</b>	<b>middle</b>	<b>low</b>	<b>very low</b>	<b>never</b>	<b>Mean</b>
	(46.7)	(28.3)	(21.7)			(3.3)	
reduction of off for sickness	39 (65)	7 (11.7)	6 (10)	2 (3.3)	0	6 (10)	5.08
saving commuting costs	27 (45)	17 (28.3)	10 (16.7)	6 (10)	0	0	5.08
less interruptions from co-workers	29 (48.3)	20 (33.3)	9 (15)	0	2 (3.3)	2 (3.3)	5.07
increase in productivity	29 (48.3)	16 (26.7)	9 (15)	1 (1.7)	1 (1.7)	4 (6.7)	4.98
reduction of mental presses of work	28 (46.7)	18 (30)	7 (11.7)	1 (1.7)	3 (5)	3 (5)	4.97
better time management	25 (41.7)	15 (25)	13 (21.7)	2 (3.3)	1 (1.7)	2 (3.3)	4.95
improvement of performance	28 (46.7)	16 (26.7)	10 (16.7)	0	0	6 (10)	4.9
reduction of off days	30 (50)	10 (16.7)	13 (21.7)	1 (1.7)	2 (3.3)	4 (6.7)	4.88
increase in working independence	24 (40)	17 (28.3)	12 (20)	2 (3.3)	1 (1.7)	4 (6.7)	4.82
keeping out of playing politics in organization	25 (41.7)	17 (28.3)	10 (16.7)	1 (1.7)	3 (5)	4 (6.7)	4.8
flexibility in work time	26 (43.3)	13 (21.7)	12 (20)	3 (5)	2 (3.3)	4 (6.7)	4.77
increase in self confidence	23 (38.3)	18 (30)	12 (20)	1 (1.7)	0	6 (10)	4.75
increase in sense of responsibility towards work	26 (43.3)	12 (20)	13 (21.7)	1 (1.7)	2 (3.3)	6 (10)	4.68
more attractive workplace	20 (33.3)	17 (28.3)	14 (23.3)	4 (6.7)	1 (1.7)	4 (6.7)	4.65
increase in job motivation	26 (43.3)	13 (21.7)	10 (16.7)	2 (3.3)	2 (3.3)	7 (11.7)	4.63
reduction of distraction in organization	22 (36.7)	19 (31.7)	6 (10)	6 (10)	2 (3.3)	5 (8.3)	4.63
improving in morale	25 (41.7)	11 (18.3)	12 (20)	5 (8.3)	0	7 (11.7)	4.58
increase in search skills	19 (31.7)	11 (18.3)	17 (2.3)	2 (3.3)	1 (1.7)	10 (16.7)	4.25
more balance between work and family	18 (30)	13 (21.7)	12 (20)	7 (11.7)	2 (3.3)	8 (13.3)	4.23
workplace stress	17 (2.3)	13 (21.7)	10 (16.7)	9 (15)	4 (6.7)	7 (11.7)	4.15
increase in computer skills	13 (21.7)	12 (20)	17 (2.3)	5 (8.3)	3 (5)	10 (16.7)	3.95
increase in time of study	14 (23.3)	11 (18.3)	15 (25)	4 (6.7)	4 (6.7)	12 (20)	3.85
salary increment	10 (16.7)	16 (26.7)	11 (18.3)	9 (15)	5 (8.3)	9 (15)	3.83
improvement in income	5 (8.3)	10 (16.7)	21 (35)	8 (13.3)	5 (8.3)	11 (18.3)	3.48

Table 2. Frequencies and percents of drawbacks of teleworking reported by respondents  
(Numbers in parentheses are percentages)

<b>Drawbacks</b>	<b>very much</b>	<b>much</b>	<b>middle</b>	<b>low</b>	<b>very low</b>	<b>never</b>	<b>Mean</b>
lack of computer facilities	0	0	1 (1.7)	3 (5)	11 (18.3)	45 (75)	1.33
hard situation	0	0	2 (3.3)	4 (6.7)	10 (16.7)	44 (73.3)	1.41
lack of on-time information about organization	0	0	2 (3.3)	6 (10)	12 (20)	40 (66.7)	1.5
lack of necessary education for teleworking	0	1 (1.7)	1 (1.7)	5 (8.3)	16 (26.7)	37 (61.7)	1.55
excessive overtime working because of increasing in work load	18 (30)	18 (30)	11 (18.3)	4 (6.7)	4 (6.7)	5 (8.3)	1.55
making problem and distribution for family	0	1 (1.7)	4 (6.7)	6 (10)	11 (18.3)	38 (63.3)	1.65
decrease in social motivations for improving at work	2 (3.3)	0	2 (3.3)	8 (13.3)	7 (11.7)	41 (68.3)	1.65
excessive tiredness because of overwork	13 (21.7)	15 (25)	12 (20)	6 (10)	7 (11.7)	7 (11.7)	1.66
increase in work stress at home	5 (8.3)	7 (11.7)	12 (20)	8 (13.3)	10 (16.7)	18 (30)	1.68
lack of answering to office questions	0	2 (3.3)	2 (3.3)	8 (13.3)	11 (18.3)	37 (61.7)	1.68
lack of family support	2 (3.3)	2 (3.3)	6 (10)	1 (1.7)	10 (16.7)	39 (65)	1.8
lack of manager support	2 (3.3)	2 (3.3)	3 (5)	6 (10)	11 (18.3)	36 (60)	1.83
family distribution for teleworker	1 (1.7)	1 (1.7)	4 (6.7)	9 (15)	12 (20)	33 (55)	1.85
social isolation caused by reducing social activities	0	2 (3.3)	5 (8.3)	12 (20)	7 (11.7)	34 (56.7)	1.9
lack of access to necessary computer facilities	1 (1.7)	3 (5)	6 (10)	7 (11.7)	9 (15)	34 (56.7)	1.97
social isolation because of less social communications	1 (1.7)	2 (3.3)	5 (8.3)	12 (20)	8 (13.3)	32 (53.3)	2
hated by non-teleworkers	3 (5)	3 (5)	5 (8.3)	6 (10)	8 (13.3)	35 (58.3)	2.03
Lacking of suitable and sufficient space at home for teleworking	0	3 (5)	9 (15)	8 (13.3)	11 (18.3)	29 (48.3)	2.1

<b>Drawbacks</b>	<b>very much</b>	<b>much</b>	<b>middle</b>	<b>low</b>	<b>very low</b>	<b>never</b>	<b>Mean</b>
				)		)	
Personal isolation caused by reducing personal communications	1 (1.7)	2 (3.3)	9 (15)	11 (18.3)	7 (11.7)	30 (43.3)	2.15
lack of access to necessary resources for work	1 (1.7)	2 (3.3)	8 (13.3)	11 (18.3)	12 (20)	26 (43.3)	2.18
Concern about career advancement	3 (5)	3 (5)	4 (6.7)	8 (13.3)	11 (18.3)	26 (43.3)	2.35
Concern about promotion	4 (6.7)	3 (5)	7 (11.7)	10 (16.7)	12 (20)	24 (40)	2.42
Concern about losing important office sessions	4 (6.7)	4 (6.7)	4 (6.7)	8 (13.3)	10 (16.7)	25 (41.7)	2.48
Not being sufficient Internet load ordered by organization	7 (11.7)	1 (1.7)	7 (11.7)	7 (11.7)	16 (26.7)	22 (36.7)	2.5
Lack of technical and help desk support	3 (5)	7 (11.7)	7 (11.7)	10 (16.7)	10 (16.7)	23 (38.3)	2.57
Missing coworkers	1 (1.7)	4 (6.7)	18 (30)	13 (21.7)	10 (16.7)	18 (30)	2.65
Losing on-the-job training	4 (6.7)	6 (10)	10 (16.7)	12 (20)	2 (3.3)	26 (43.3)	2.67
Concern about physical health because of less movement	6 (10)	4 (6.7)	12 (20)	8 (13.3)	7 (11.7)	23 (38.3)	2.75
Not being sufficient payments by organization	5 (8.3)	5 (8.3)	12 (20)	11 (18.3)	12 (20)	15 (25)	2.92
Low speed of Internet at home	7 (11.7)	11 (18.3)	21 (35)	19 (31.7)	2 (3.3)	0	4.03
Low speed of RASA at home	27 (45)	10 (16.7)	14 (23.3)	3 (5)	6 (10)	0	4.87

Table 3. Frequencies and percents of satisfaction of teleworking reported by respondents  
(Numbers in parentheses are percentages)

<b>Variable</b>	<b>very much</b>	<b>much</b>	<b>middle</b>	<b>low</b>	<b>very low</b>	<b>never</b>	<b>missing</b>	<b>Mean</b>
satisfaction of teleworking	37 (61.7)	16 (26.7)	6 (10)	0	0	0	1 (1.7)	5.53

## **THE UPS AND DOWNS OF BUSINESS PROCESS RE-ENGINEERING (BPR): A TALE OF TWO OFFICES IN BAHIR DAR TOWN, ETHIOPIA**

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### **Abstract:**

Since the early 1990's, Ethiopia has been running reform programmes to improve efficiency, effectiveness and accountability in the delivery of public services. One method has been Business Process Re-engineering (BPR). Using a concurrent quan-QUAL mixed study, this chapter analyzes two public bodies to examine whether their BPR projects have been appropriately designed and implemented, what has worked, what has not, and why. The finding is that BPR designs have been generally sound, but positive results have been prevented or compromised by a wide range of planning and implementation defects, including failure to institutionalize the new systems; lack of monitoring, measuring, and reviewing; and an inadequate incentive structure.

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**Key Words:** Change management, Public sector body, re-engineering success

### **Introduction**

Ethiopia's first Civil Service Reform Programme (CSRP) was launched in 1996 (UNDP, 2007), designed to improve the efficiency, effectiveness, and transparency of public institutions. It included sub-programmes to reform top management systems, human resource management, service delivery, government expenditure and control, and ethics. In 2001, the Government also launched a comprehensive National Capacity Building Programme (NCBP) to strengthen working systems, improve organizational effectiveness, and rapidly develop human resources in the public sector (ibid). Business Process Re-engineering (BPR) was introduced in 2003 and was applied as part of the CSRP (Gebrekidan, 2011).

There are very few studies on the outcomes and impacts of PBR reforms in Ethiopia, and even these provide inconclusive accounts. Some argue that BPR reforms have not brought the desired changes, while others indicate success stories. World Bank (2011) suggests that effectiveness, efficiency and speed of service delivery in Ethiopian public bodies is much talked about but little achieved. There are studies indicating some improvements in service provision as a result of BPR, and some failures (Tilaye cited in Debela, 2009; Debela and Hagos, 2011; Teklegiorgis and Amare, 2007). Empirical studies on the status of BPR reforms in the Regional Government of Ethiopia are scarce.

Focusing on the Amhara Region, this study explores the design and implementation of BPR programmes in two government offices in Bahir Dar town— Bahir Dar City Services Office and Bahir Dar University. Though the two offices provide different services, both do so to large numbers of customers, mobilize huge resources, and began re-engineering at the same time.

This study follows a mixed-methods approach, quant-QUAL, involving data collection both from numeric and text information either simultaneously or sequentially to best understand the research problem (Cresswell, 2003). This chapter's survey respondents were selected from organizational units (processes) which began implementing the re-engineering projects during 2010/2011. In Bahir Dar University (BDU) 15 officers from the teaching/learning process and 15 case-team leaders from the support processes responded to the questionnaire. At Bahir Dar City services (BDC) three case-team coordinators from head office and 27 officers from the *kebeles* responded to the questionnaire. Top-level officials from both organizations who were actively engaged in the re-engineering process were interviewed. Design documents, minutes of change management committees, review documents and other secondary information were consulted.

This study uses an analytical tool, which was developed and used in Botswana by Hacker and Washington<sup>1</sup> (2004) in measuring performance of large-scale projects. It measures the performance of

any large-scale change through six areas: result areas and goals; objectives; measurement processes; reviews; responsibilities; and evidence of continuous improvement. The tool uses a survey instrument of 39 statements within the six headings. Respondents are asked to rate the level of implementation of the items on a scale from 1 (not implemented at all) to 7 (fully implemented). The reliability of the tool (across time and other variables) is computed using Cronbach's alpha, with a result of 0.965 representing a relatively high estimate (Nunnally cited in Davis, 2000:180).

## **I. The design and implementation of BPR in the two offices**

### **1 Pre-BPR**

BDU was established in 1999 by merging the then Bahir Dar Teachers' Education and Bahir Dar Polytechnic Institutes. The university now has more than 40,000 students in its regular, evening, distance and summer programmes, which include the humanities, social sciences, natural science, engineering, business and economics, agriculture and environmental sciences, legal studies and medical and health sciences. The academic and support staff number about 2,500.

Before BPR, the decision-making power was centrally held by the top management of the university, which included the President (Chief Executive Officer), Academic and Research Vice president, and Business and Development Vice President. Under the Academic and Research Vice President there were seven deans running their respective faculties. The support activities were run by the Finance, Administration, and General Services departments all organized under the supervision of the Business and Development Vice President. With the exception of student affairs and some aspects of staff affairs, all the powers relating to financial management and procurement were centralized at the top management level, especially with the President and the Vice Presidents. The Academic Deans of the faculties had little authority on hiring and firing of staff, management of their budget, or administering support staff and physical resources. They were responsible only for the day-to-day teaching/learning activities of their faculties.

BDC, the regional capital of Amhara State, has an estimated 220,000 residents (2007 Ethiopia Statistics Authority census survey). The city has a mayor as chief administrator, different sectoral offices, and the city services office. Its objectives are making the city suitable for living, investment, and provision of social services. Major services include development and provision of land for social services, investments, and residential construction; building of infrastructure, beautification and cleansing of the city; and provision of utilities and municipal services.

Before BPR, the BDC Services had a centralized structure and different functional departments. The Department Heads reported to the City Manager, who was accountable to the mayor. There were 17 sub-city administrators known as *kebele administrators* all reporting to the City Manager. Almost every major decision was centralized— for example, every land lease contract between the city and the citizen/investor had to be signed by the city manager. Service provision took an inordinate length of time and involved numerous procedures. For acquiring a plot of land and securing an approved site plan for constructing residential or commercial houses, an applicant had to wait for at least twelve months; in the process there were 30 different activities performed by different experts in different offices. *Kebeles* had no power with regard to provision of land, construction permits, collection of fees, transfer of title deeds to different parties, or delivery of utilities. Their authority was limited to minor issues like provision of citizen identity cards and minor dispute resolutions.

### **2 BPR Design Process**

At BDU, the top management formed a team of experts and officials who identified ten business processes, of which five were selected for redesign based on their relative importance to the success of the mission of the university, the resources they consumed and the magnitude of the problems they faced. These processes were: a) Teaching – Learning; b) Human Resource Development; c) Procurement and Property Administration; d) Planning, Implementation, Monitoring and Evaluation; e) Information and Strategic Communication

The university formed a separate team for each business process and gave each team a "Process Owner", who report to the President of the university as the overall "Business Owner". A

Tsar was appointed to facilitate logistics and finance operations. A Steering Committee, comprising the Process Owners, is chaired by the Business Owner. .

BDU set a six-month deadline for “work units” to complete the new process designs. The sudden removal of the then President and Vice President from office disrupted the timetable and there was an over-run of five months. Various consultation meetings were conducted to refine the draft designs of each process. A national workshop was held to present the new work processes and obtain feedback from senior officials of the Ministry of Education, other university presidents, Amhara region officials, and experts.

The top management of the BDC started by conducting consultative meetings with all employees on the need to redesign various processes, and trained all on the principles of BPR. The city selected five processes for redesign – a) Land Acquisition and Administration; b) Design and Construction; c) Utilities Administration; d) City Beautification and Cleaning Administration; and e) Law Enforcement. Subsequently, BDC top management decided to re-engineer only one process - Land Acquisition and Administration – warranted by its strategic importance. The redesign process was finalized within the planned period of six months and various consultation forums that brought together the design team and employees were conducted. The Mayor held the position of Business Owner. A Tsar was also assigned.

Both BDU and BDC adopted Linden’s (1998) methodology for introducing BPR, as prescribed by the central government. This method has three fundamental principles: a) challenging assumptions behind the old way of doing business; b) focusing on processes, not along functional lines, programme offices or budget departments’; and c) organizing around outcomes.

The general approach followed in both organizations included mapping the old ways of doing work, identifying problems, assessing rules), and verifying assumptions behind the rules. Desired outcomes of each process were articulated after focus-group discussions, interviews and surveys with customers and other internal and external stakeholders. The desired outcomes were converted to stretched objectives.

### **3 Post- BPR**

The implementation of BPR resulted in some changes at both the university and the city services. Jobs and responsibilities were redefined, the number of activities was reduced, the time for each activity was determined, positions were reduced, and the philosophy of doing work was redefined.

As a direct result of BPR, the university made its Course System Knowledge Database (CSKD) permanent. Various graduate and undergraduate programmes may come and go, but the CSKDs from which they are derived will remain. Redesign of courses into end-to-end, holistic systems reduced the previous 800 separate courses to 250 CSKDs. Traditionally, courses were each instructor’s property; now CSKDs have their respective managers who manage, renovate, continually update the systems, and make them available for delivery.

On approval of the organizational structure by the board, the university elected five Vice Presidents and Process Owners to lead their respective processes. A Change Management Team comprising Presidents, Institutional Transformation Officers and the Tsar was formed by the President to lead the change. The processes have only case teams reporting to the Process Owners; no other hierarchy was created, enabling one-stop services. To reach their customers easily, case teams were located in different parts of the university campuses. The system empowered Deans of colleges as well as faculties and schools reorganized by the design to have discretionary power on procurement, financial services and maintenance services.

BDU prepared an implementation plan and a human resources placement procedure approved by the University Managing Board. Both the plan and the procedure were widely communicated to the university community through meetings, notice boards and distribution of the documents to each organizational unit/process. Nomination and placement of employees and officers, took about eighteen months to finalize. The Change Management Committee undertook multiple BPR follow-up meetings, on average once every 20 days, for about 18 months. Some 60 percent of meeting time and decisions were related to placement of employees, nomination of officials, and handling of grievances. Less than five per cent of meeting time focused on review of the implementation plan. No

major progress reports were made, no follow up of prior reviews was conducted, and no plan revisions were done. After a year and six months, the implementation plan was not revised or improved. There was, however, a two-day observation of BPR progress conducted by external consultants.

BDC's redesign of Land Acquisition and Administration reduced the previous 62 activities in the process to just 11. The new process is customer-focused, orientated to results rather than activities, and employees are expected to work with team spirit. Each employee is given the authority to process leasehold bids to finality. The time to complete delivery of land on a lease basis, the preparation of site plans, and the processing of construction permits, is down from 529 days to just 20.

The city services developed the implementation plan of BPR in line with the general regional government strategic plan. This document was communicated to all City Services Office employees. A team comprising the Mayor, the Process Owner and the head of the capacity-building office was set up by the regional government to monitor re-engineering.

The new Land Acquisition and Administration process allowed one-stop-shop service delivery – for all activities starting with request for land to the provision of construction permits to residents and investors. The decision points are the case worker/expert or case manager or process owner, without additional reference to the Mayor's Office or the City Manager's Office. The 17 *kebeles* are reorganized as 9 sub-city administration units which take responsibility for granting construction permits and title deed transfers for buildings and collecting fees from citizens. Time taken for acquisition of construction permits for plots obtained on open bid went down from 12 months to an average of 14 days. The Change Management Committee ran weekly, monthly and quarterly review meetings to assess challenges and remedy legal frameworks in conflict with the BPR designs. However, after nine months the review tempo slowed and performance declined.

The following section presents the results of the survey on the level of implementation of PBR.

### 1. Assessment of the level of implementation of BPR in the two offices

Respondents from BDU and BDC were asked to assess the level of PBR implementation through five main indicators with 39 sub indicators. The main indicators were: result areas and goals, objectives, measurement and reviews, responsibilities, continuous improvement (see Annex 1 for the questions and the responses). Table 1 provides the summary of the results.

**Table 1: Summary of survey result**

Note:

1. The percentages indicate the proportion of respondents who have positively and negatively

	Item	Less Favourable		Favourable		Mean	
		BDU (%)	City (%)	BDU (%)	City (%)	BDU	City
1	Result Areas And Goals	19	41	73	34	4.89	3.99
2	Objectives	24	48	61	31	4.87	3.70
3	Measurement Processes	75	63	14	17	2.46	3.35
4	Reviews	54	59	26	21	3.46	3.37
5	Responsibilities	39	46	41	23	4.1	3.69
6	Continuous Improvement	88	70	6	14	1.96	3.03

assessed the level of BPR implementation.

2. The detailed survey result for each of the items is given in Annex 1

a) Result areas and goals: measureable unit goals linked to the overall vision of the organization are an indicator of proper implementation. It is essential to have clearly defined and understood goals and result areas (Hacker and Washington, 2004). The scores in Table 1 indicate that both the university and city services did well in these respects, and this was reaffirmed by interviews

with the top management of the two organizations. The BDC implementation plan also indicates the major goals, measures, targets, and bodies responsible for the different goals, though it does not show the different input requirements crucial for the success of the BPR project. For example, office, ICT and budget requirements are not indicated.

b) Objectives: another main indicator is when organizational goals guide organizational unit objectives, and unit objectives guide functional tactics or operational plans. Implementation of BPR is all about the “how”, which involves translating strategic goals in to annual objectives, cascading them into all organizational units, including to employees, and ensuring resource provision (Hamel and Prahalad, 2005; Kaplan and Norton, 2008). The survey result indicated that both the University and the City services office scored above average results in crafting well-defined objectives. There are, however, no documents support the survey result. The interviewees at both offices also contended that organizational objectives were not cascaded down across all units; organizational plans were not sufficiently aligned with organizational units and the objectives of each unit were not linked with the overall vision of the organizations. Although cascading helps to pass on organizational accountability to all units for the results they achieve, and to measure and evaluate their performance, this is not done adequately in either organization.

c). Measurement processes: both the BDU and BDC scored below the benchmark point of 3.5 (the mean score), showing their weakness in designing systems to measure the performance of the implementation process. During interview, an official from the university admitted that the university did not consider the measurement system while preparing the planning documents. As a result, the performance of the implementation plan was not – could not be – measured. Among reasons cited for this omission was that the President, Vice Presidents and Process Owners were preoccupied in daily routines and other priorities like ‘emergency or urgent’ assignments from higher political bodies and negotiations with service providers. BDC did not have their own measurement plans, but followed a system established by the regional government.

d) Review processes: both university and city scored below average on the availability of a well-designed review process. The university did conduct occasional reviews, but these were limited to the hearing of progress reports and presentations of challenges faced by the process owners. No organized quarterly reports were produced, no follow-ups from previous reviews were heard, no term plans were prepared, and clear accountability was not mentioned. Most change management meeting time (60% of the agenda for more than eighteen months) was about the placement of employees and handling of employee grievances rather than the performance of the implementation process. The university also struggled for lack of legal frameworks to support the new processes; the financial management and procurement and property administration proclamations enacted by the federal government reduced BDU’s autonomy and flexibility in implementing BPR projects and reviewing the processes.

BDC, however, showed improvement in the delivery of services because it was led by regulations, emanating from the regional government, that supported the new designs and empowered managers at all levels. During the first six months of implementation (in 2008) BDC held daily review meetings at unit level with employees, weekly meetings with management and monthly meetings with the mayor’s office. In those meetings, decisions important for the smooth-functioning of the new design— like amendment of rules, procedures, formats and other matters - were made by management. But this review process was not sustained and the office’s delivery of services declined. Reasons for decline included the office’s inability to develop and implement employees’ performance measurement and incentive systems, and the frequent turnover of management before the system was institutionalized. The Federal and regional labour laws do not allow for performance-based benefit packages (see, for example, FDRE (2004) proclamation No. 377/2003). The regional government’s top political leaders, ‘who lacked trust in the middle and lower managers of the city service offices’, (interview) took back the discretionary power given to BDC. This situation not only stalled progress but also frustrated regular employees and process owners and led to high turnover of employees.

At BDU, the managing board replaced the President, three Vice Presidents, and four Process Owners during the implementation stage. Similarly, in BDC the Mayor, the City Manager and other city administration cabinet members were replaced. This turnover of top functionaries was mainly for political reasons. It disrupted implementation of BPR projects. Moreover, in the case study offices,

there were no continuous review meetings which led to loss of strategic direction while management was immersed in what one interviewee labeled ‘irrelevant, minor daily routines’.

e) Responsibilities: Both organizations under study scored high in terms of having well-defined responsibilities. This shows that responsibilities were fixed to the persons assigned for the different duties.

f) Evidence of continuous improvement: the survey scores and interviews reflect little continuous improvement in either the BDU or BDC – because there was no measurement system, no data, and review was inadequate.

These results (Table 1) indicate weaknesses on items related to the monitoring, evaluation and revision of the implementation process. Measurement systems should include determining what to measure, identifying proper data collection methods, and collecting the data. Review systems are essential to determine whether different organizational activities are achieving desired results and whether new decisions should be made. Continuous improvements are extensions of the review systems and indicate the ability/willingness/diligence to redirect when the situation demands.

## Conclusion

Aligning large-scale change initiatives to organizational mission and vision, designing strategic plans accordingly and installing robust measurement systems would greatly improve the effectiveness of these change projects. Since change projects such as BPR require huge amounts of time, budget and manpower, it is crucial that organizations monitor the performance of strategic initiatives through measurement systems that enable them to continuously learn and improve.

The organizations under study are good at designing, but find execution of those designs a major problem. Shortfalls include leadership commitment and continuity, alignment of organizational objectives to lower-level units, and understanding of employee intentions or resistances, and translating nominal responsibility into practical accountability. The following points indicate the major issues that transpired from the discussion in this chapter:

- While Planning, both strategic and operational, is perceived by top management as very important in leading organizations, not enough is done to ensure measurement systems for the plan, monitoring the plan and continuously improving the strategic initiatives and operational activities.
- High turnover of officials, especially at the top level, breaks continuity and demands countervailing hand-over and replacement mechanisms.
- ICT is an essential enabler for successful BPR, but it is given little attention while implementing BPR projects. .
- New processes demand the design and execution of performance measurement systems alongside incentive structures.
- Public offices shy away from change management efforts when there is a perception by management that the change process is a political project.
- Persistent and diverse communication strategies are vital for selling a change agenda; successful change begins with acquiring employees’ buy-in to the strategic plan and change process.

## Notes

1. Though the Hacker and Washington (2004) instrument was used by the authors in a sub-Saharan country, Botswana, a focus group discussion about the validity of the questionnaire and practical applicability of the instrument in the Ethiopian context with three middle level officials indicated the need for a few adjustments - like reducing the variables from 42 to 39 and changing the names of organizational units to the current organizational contexts under study. (Please see the slightly modified questionnaire in Annex 1. For the original version of the questionnaire developed by Hacker and Washington (2004) please visit Hacker, M. and Washington, M. (2004), How we measure the implementation of large-scale change, *Measuring Business Excellence*, Vol. 8 No. 3page 56.)

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## Annex 1

Survey result for each of the factors (own computation)

### 1. Well-defined goals and result areas

	Bahir Dar University				Bahir Dar City services			
	Minimum	Maximum	M	SD	Minimum	Maximum	M	SD
Linked to the organization vision	3	7	5.33	1.37	2	7	4.4	1.69
Goals defined as appropriate	3	7	5.17	1.27	2	5	3.9	1.02
Cross office result areas identified as needed	2	6	4.60	1.43	2	6	3.9	1.17
Measurable	2	6	4.67	1.56	1	7	4.0	1.50
Targets	2	7	4.67	1.61	2	7	3.9	1.27
<b>Total Mean</b>			<b>4.89</b>				<b>3.99</b>	

### 2. Well-defined Objectives

	Bahir Dar University				Bahir Dar City services			
	Minimum	Maximum	M	SD	Minimum	Maximum	M	SD
Linked to specific key result areas	2	7	5.25	1.71	1	7	3.4	1.50
Strategies defined as needed	1	7	4.50	1.98	2	6	4.0	1.43
Prioritized critical few	1	7	3.91	2.07	2	7	3.9	1.39
Measurable	1	7	4.92	2.07	1	6	3.5	1.28
Long term targets	2	7	5.33	1.44	2	6	3.9	1.31
Annual Targets	2	7	5.33	1.37	2	6	3.7	1.28
<b>Total Mean</b>			<b>4.87</b>				<b>3.70</b>	

## 3. Well-defined measurement processes

	Bahir Dar University				Bahir Dar City services			
	Minimum	Maximum	M	SD	Minimum	Maximum	M	SD
Accepted measures	1	7	3.58	1.73	1	6	3.2	1.28
Understanding of measures	1	6	3.17	1.53	1	6	3.2	1.24
Reliable data sources	1	5	2.42	1.38	2	5	3.3	1.02
Reliable survey mechanics	1	5	2.17	1.40	1	6	3.4	1.23
Plotted as time series	1	5	1.92	1.38	1	7	3.5	1.50
Control charted	1	6	2.08	1.62	2	7	3.6	1.32
Special causes investigated	1	5	2.18	1.33	1	6	3.2	1.15
Control limits revised as appropriate	1	6	2.09	1.76	2	6	3.3	1.25
Data interpretations accurate	1	7	2.55	2.16	1	7	3.5	1.54
Random variations understood	1	5	2.45	1.63	2	7	3.4	1.39
<b>Total Mean</b>			<b>2.46</b>				<b>3.35</b>	

## 4. Well-established review processes

	Bahir Dar University				Bahir Dar City services			
	Minimum	Maximum	M	SD	Minimum	Maximum	M	SD
Quarterly reviews conducted with PS*	1	7	3.75	1.76	1	6	3.1	1.23
Monthly reviews conducted with department heads	2	5	2.91	.94	1	5	3.2	1.04
Status reports generated	2	6	3.92	1.38	1	6	3.7	1.35
Follow up from previous reviews	1	7	3.91	1.70	1	6	3.1	1.52
Lessons learned discussed	1	5	3.10	1.60	1	6	3.3	1.29
Discussions include plans for next quarter and longer	1	7	3.17	2.04	1	7	3.5	1.58
Performance accountability exists	1	7	3.50	2.20	2	7	3.9	1.49
<b>Total Mean</b>			<b>3.46</b>				<b>3.37</b>	

## 5. Well-defined Responsibilities

	Bahir Dar University				Bahir Dar City services			
	Minimum	Maximum	M	SD	Minimum	Maximum	M	S
To Vice Presidents*	1	7	4.18	1.72	1	7	3.6	1.79
Process Owners	1	7	4.25	1.76	2	7	3.7	1.35
Deans/Directors	1	7	4.25	1.86	1	7	3.5	1.47
Case team coordinators	1	7	4.17	1.85	2	7	3.8	1.16
Case team workers	1	6	3.67	1.87	1	7	3.9	1.29
<b>Total Mean</b>	<b>4.10</b>				<b>3.69</b>			

## 6. Evidence of continuous improvement

	Bahir Dar University				Bahir Dar City services			
	Minimum	Maximum	M	SD	Minimum	Maximum	M	SD
PMS* annually assessed	1	6	2.83	1.85	1	5	3.0	0.92
Change efforts of work units aligned with key result areas	1	5	2.33	1.50	1	6	3.1	1.27
Training on PMS conducted broadly and systematically	1	3	1.67	.89	1	7	2.9	1.54
New employees trained in PMS	1	3	1.50	.85	1	7	2.9	1.59
Communication plans keep organizations aware of the status of PMS	1	4	1.75	.97	1	7	3.1	1.58
Internal PMS benchmarking across all organizational units	1	3	1.67	.98	1	5	3.2	1.08
<b>Total Mean</b>	<b>1.96</b>				<b>3.03</b>			

\*Note: PMS stands for performance measurement systems

## DOMESTIC VIOLENCE AGAINST WOMEN: A FAMILY MENACE

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### Abstract:

In our society, many women are violently treated by their intimate partners while they suffer in silence. In some cases, domestic violence leads to the death of these women. This should not be allowed to continue because women are crucial to the growth and development of any nation and the world at large. They are homemakers, custodians of social, cultural and fundamental values of the society; and permanent change is often best achieved through them. Full community development is impossible without their understanding, cooperation and effective participation. Considering all these, women deserve better treatment but opposite is usually the case. Wife battery affects the physical and psychological wellbeing of the abused women and even that of their children. It is on this premise that this paper discusses the meaning of domestic violence against women, types of intimate partner violence, effects of these types of violence on abused women and their children. This paper also discusses causes and management of domestic violence against women. In conclusion recommendations were made to eradicate this menace from the society.

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**Key Words:** Domestic violence, women, wife battery, physical, psychological damage

### 1. Introduction

Domestic violence is also known as domestic abuse, spousal abuse, battering, family violence and intimate partner violence (IPV). It is a pattern of abusive behaviours by one partner against another in an intimate relationship such as marriage, dating, family or cohabitation. Domestic violence, so defined, has many forms, including physical aggression or assault (hitting, kicking, biting, shoving, restraining, slapping, throwing objects), or threats thereof; sexual abuse; emotional abuse; controlling or domineering; intimidation; stalking; passive/covert abuse otherwise known as neglect; and economic deprivation (Seimenuk, Krentz, Gish and Gill, 2010). Domestic violence and abuse is not limited to obvious physical violence. It can mean endangerment, criminal coercion, kidnapping, unlawful imprisonment, trespassing, harassment and stalking (National Network to End Domestic Violence, 2011).

The US Office of Violence Against Women (OVM) defines domestic violence as a “pattern of abusive behaviour in any relationship that is used by one partner to gain or maintain power and control over another intimate partner”. The definition adds that domestic violence “can happen to anyone regardless of race, age, sexual orientation, religion, or gender”, and can take many forms, including physical abuse, sexual abuse, emotional, economic and psychological abuse (Office of Violence Against Women, 2007).

Violence against women is a technical term used to collectively refer to violent acts that are primarily or exclusively committed against women. Similar to a hate crime, this type of violence targets a specific group with victim's gender as primary motive. The United Nations General Assembly defines violence against women as any act of gender-based violence that results in, or is likely to result in physical, sexual or mental harm or suffering to women, including threats of such acts, coercion or arbitrary deprivation of liberty, whether occurring in public or in private life. The 1993 Declaration on the Elimination of Violence Against Women noted that this violence could be perpetrated by assailants of either gender, family members and even the ‘State’ itself (United Nations, 1993). Worldwide governments and organisations actively work to combat violence against women through a variety of programmes. A UN resolution designated November 25 as International Day for the Elimination of Violence Against Women.

Women are crucial to the growth and development of any nation and the world at large. Women constitute half of the world's population and they are homemakers, custodians of social, cultural and fundamental values of the society and permanent change is often best achieved through them. Full community development is impossible without their understanding, cooperation and effect participation. Considering the importance of women as mother, sometimes breadwinners, teachers and guardians, they deserve respect, recognition and better treatment but the opposite is usually the case. According to Davies (1999), women are enslaved in a circle of poverty and they suffer from neglect, discrimination and exploitation. They are also subjected to different forms of violence by their male counterparts.

Some historians believe that the history of violence against women is tied to the history of women being viewed as property and a gender role assigned to be subservient to men and also other women (Harvey and Gow, 1994). The UN Declaration on the Elimination of Violence Against Women (1993) states that violence against women is a manifestation of historically unequal power relations between men and women, which have led to domination over and discrimination against women by men and to the prevention of the full advancement of women and that violence against women is one of the crucial social mechanisms by which women are forced into a subordinate position compared with men.

In the 1870s, courts in the United States stopped recognising the common-law principle that a husband had the right to "physically chastise an errant wife" (Calvert, 1974). In the UK, the traditional right of a husband to inflict moderate corporal punishment on his wife in order to keep her "within the bounds of duty" was removed in 1981 (Encyclopaedia Britannica, 1911).

Women are more likely to be victimized by someone that they are intimate with, commonly called Intimate Partner Violence (IPV). The impact of domestic violence in the sphere of total violence against women can be understood through the example that 40-70% murders of women are committed by their husbands or boyfriends (World Health Organization, 2002). Studies have shown that violence is not always perpetrated as a form of physical violence but can also be psychological and verbal (Poureza, Batebi and Moussavi, 2004). Instances of Intimate Partner Violence tend not to be reported to police and thus many experts believe that the true magnitude of the problem is hard to estimate (Centers of Disease Control and Prevention, 2011).

Johnson (1995) argues for three major types of intimate partner violence, which is supported by subsequent research and evaluation (Johnson, 2006), as well as independent researchers (Graham-Kevan and Archer, 2003; and Rosen, Stith, Few, Daly and Tritt, 2005). Distinctions are made among the types of violence, motives of perpetrators, and the social and cultural context based patterns across numerous incidents and motives of the perpetrator. Types of violence identified by Johnson are:

- a. Common Couple Violence (CCV): This is not connected to general control behaviour, but arises in a single argument where one or both partners physically lash out at the other.
- b. Intimate Terrorism (IT): This may also involve emotional and psychological abuse. Intimate terrorism is one element in general pattern of control by one partner over the other. It is less common than common couple violence, more likely to escalate over time, not as likely to be mutual, and more likely to involve serious injury. Intimate terrorism barterers include who types: "Generally-violent-antisocial" and "dysphonic-borderline". The first type include men with general psychopathic and violent tendencies. The second type are men who are emotionally dependent on the relationship. Support for this typology has been found in subsequent evaluations (Hamberger, Lohr, Bonge and Tolin, 1996).
- c. Violence Resistance (VR): This is sometimes thought of as 'self-defence'. It is violence perpetrated by victims against their abusive partners.
- d. Mutual Violent Control (MVC): This is rare type of intimate partner violence occurring when both partners act in a violent manner, battling for control.

The various forms of violence against women include wife battery, denial of self-expression, female-child labour, childhood marriage, female genital mutilation, violence from in-laws, violence from sexual relationship, antagonism because of sex of new-born child, exploitation, violence by law enforcement agents, negative cultural attitudes and degrading traditional practices, e.g. widowhood rites and denial of female education. Out of these various forms of violence, this researcher is particularly interested in domestic violence against women with particular reference to wife battery.

Wife battery is an exposure of a married woman to serious beating or repeated injuries (Scott, 1991). Violence by the husband is higher and far more harmful form of violence, such as battery and the use of knives and guns. Domestic violence against women has deep roots in most cultures and religions and supported, even institutionalized by patriarchal values in most societies. Public responses to acts of violence range from pride, denial or tacit conceit. Wife battery may happen in 30 percent of families but is not recognised in the public eyes (Davies, 1999). Violence is a global problem that can no longer be ignored or permitted by remaining silent, excusing violence, blaming those who are involved and accepting cultural and religious biases.

## **2. Situation of Nigeria**

Cases of domestic violence against women have been on the increase in Nigeria. There have been reports of cases of husbands killing and maiming their wives in the media. The statistics presented by *This Day* (2011) newspaper are daunting. About 50% of women have been battered by their husbands. Shockingly, more educated women (65%) are in this terrible situation as compared with their low income counterparts (55%). Most endure, believing they have nowhere to go and in any case, believing, for good reason, that the law will not protect them. Staggering 97.2% of them are not prepared to report to the Nigeria Police. Only four states of the Federation (Lagos is one of them) have passed laws against the insidious crime, whilst several Bills against it languish in our male-dominated National Assembly. Of the states that have passed it, the law is yet to be fully tested.

Only recently in Lagos State, Titilayo Arowolo, a 27-year-old mother of one was gruesomely murdered by her husband. Arowolo was allegedly axed to death by her husband, Kolade, in their Isolo home in Lagos. Before that, the scandalous story of wife battering by one Nigerian Ambassador and a traditional ruler who engaged his wife in a public brawl made the rounds, thus bringing the issue of spousal abuse once again to the front burner.

There is an official acceptance of violence between 'Consenting' adults and people perceive domestic violence as a private affair. The American National Commission on the Causes and Prevention of Crime or violence found in large representative samples that between one-fourth and one-fifth of those questioned, felt that it was acceptable for spouse to hit each other under certain circumstance (Stark and McEroy, 2002).

Victims of wife battery are reported to suffer from physical and psychological pain (Essen, 1999). Domestic violence against women constitutes a great problem to the family and the society at large. It occurs at home, in public places like streets, parks, familiar places like homes of friends and relatives, offices, involving highly placed executives; and also in churches and mosques.

Domestic violence that occurs in private within the family, including wife battery, rape, acid attack, and sexual abuse affect the physical and psychological wellbeing of women; and as such, they seem to erode the position of women, both at home and in the society at large. Domestic violence against women therefore deserve to be studied in order to provide possible solution.

## **3. Effects of Domestic Violence Against Women**

- 1 Effect on Children: There has been an increase in acknowledgement that a child who is exposed to domestic abuse during his upbringing will suffer in his development and psychological welfare (Dodd, 2009). Some emotional and behavioural problems that can result due to domestic violence include increased aggressiveness, anxiety, and changes in how a child socializes with friends, family and authorities. Problems with attitude and cognition in schools can start developing, along with a lack of skills such as problem-solving. Correlation has been found between the experience of abuse and neglect in childhood and perpetrating domestic violence and sexual abuse in adulthood (Sadeler, 1994). Additionally, in some cases, the abuser will purposely abuse the mother in front of the child to cause a ripple effect, hurting two victims simultaneously. It has been found that children who witness mother-assault are more likely to exhibit symptoms of posttraumatic stress disorder (PTSD) (Lehmann, 1995).
2. Physical Effect: Bruises, broken bones, head injuries, lacerations and internal bleeding are some of the acute effects of a domestic violence incident that require medical attention and hospitalization (Jones, 1997). Some chronic health conditions that have been linked to victims of domestic violence are arthritis, irritable bowel syndrome (Berrios, 1991). Victims who are pregnant during

a domestic violence relationship experience greater risk of miscarriage, pre-term labour, and injury to or death of the foetus (Jones, 1997).

3. **Psychological Effect:** Among victims who are still living with their perpetrators, high amounts of stress, fear and anxiety are commonly reported. Depression is also common, as victims are made to feel guilty for ‘provoking’ the abuse and are frequently subjected to intense criticism. It is reported that 60% of victims meet the diagnostic criteria for depression, either during or after termination of the relationship, and have a greatly increased risk of suicidality (Barnett, 2001). The most commonly referenced psychological effect of domestic violence is Post-Traumatic Stress Disorder (PTSD). According to Vitanza, Vogal and Marshall (1995), PTSD (as experienced by victims) is characterized by flashbacks, intrusive images, exaggerated startle response, nightmares, and avoidance of triggers that are associated with the abuse. These symptoms are generally experienced for a long span of time after the victim has left the dangerous situation. Many researchers state that PTSD is possibly the best diagnosis for those suffering from psychological effect of domestic violence, as it accounts for the variety of symptoms commonly experienced by victims of trauma.
4. **Financial Effect:** Once victims leave their perpetrator, they can be stunned with the reality of the extent to which the abuse has taken away their autonomy. Due to economic abuse and isolation, the victims usually have very little money of their own and few people on whom they can rely when seeking help. This has been shown to be one of the greatest obstacles facing victims of domestic violence, and the strongest fact that can discourage them from leaving their perpetrators (Stop Violence Against Women, 2010). In addition to lacking financial resources, victims of domestic violence often lack specialized skills, education, and training that are necessary to find gainful employment, and also may have several children to support.
5. **Long-term Effect:** Domestic violence can trigger many different responses in victims, all of which are very relevant for a professional working with a victim. Major consequences of domestic violence victimization include psychological/mental health issues and chronic physical health problems. A victim’s overwhelming lack of resources can lead to homelessness and poverty.

#### **4. Causes of Domestic Violence Against Women**

There are many different theories as to the causes of domestic violence. These include psychological theories that consider personality traits and mental characteristics of the perpetrators, as well as social theories which consider external factors in the perpetrator’s environment, such as family structure stress and social learning. As with many phenomena regarding human experience, no single approach appears to cover all cases.

- **Psychological:** Psychological theories focus on personality traits and mental characteristics of the offender. Personal traits include sudden bursts of anger, poor impulse control, and poor self-esteem. Various theories suggest that psychopathology and other personality disorders are factors, and that abuse observed or experienced as a child lead some people to be more violent in adulthood (Kalra, 1996). Dutton and Golant (1995) suggested a psychological profile of men who abuse their wives, arguing that they have borderline personalities that are developed early in life. However, these psychological theories are disputed by Steel (1974) and Strains (1980) who suggest that psychological theories are limited. They argue that social factors are important, while personality traits, mental illness or psychopathy are less factors.
- **Jealousy:** Many cases of domestic violence against women occur due to jealousy when the spouse is either suspected of being unfaithful or is planning to leave the relationship. An evolutionary psychology explanation of such cases of domestic violence against women are that they represent to male attempts to control female reproduction and ensure sexual exclusivity for himself through violence or the threat of violence (Goetz, 2010).
- **Social Stress:** Stress may be increased when a person is living in a family situation, with increased pressures. Violence is not always caused by stress, but may be one way that some people respond to stress (Seltzer and Kalmuss, 1988). Couples in poverty may be more likely to experience domestic violence, due to increased stress and conflicts about finances and other aspects (Jewkes, 2002).
- **Social Learning:** If one observes violent behaviour, one is more likely to imitate it. If there are no negative consequences and the victim also accepts the violence with submission; then the

behaviour will likely continue. Often, violence is transmitted from generation to generation in a cyclical manner (Crowell and Sugarman, 1996).

- **Power and Control:** Abusers abuse in order to establish and maintain control over the partner. Abusers' effort to dominate have been attributed to low self-esteem or feelings of inadequacy, unresolved childhood conflicts, the stress of poverty, hostility and resentment toward women (misogyny), personality disorders, genetic tendencies and socialcultural influences (Wikipedia, 2012). Most authorities seem to agree that abusive personalities result from a combination of several factors, to varying degrees.

## 5. Management

The response to domestic violence is typically a combined effort between law enforcement, counselling services and health care.

- i. **Medical Response:** Medical professionals do not see themselves as being able to play a major role in helping women in regards to domestic violence. Injuries are often just treated and diagnosed, without regard for the causes (Sugg and Inu, 1992). Many doctors prefer not to get involved in people's "private" lives.

Health professionals have an ethical responsibility to recognize and address exposure to abuse in the patients, in the health care setting. For example, the American Medical Association's code of medical ethics states that "Due to the prevalence and medical consequences of family violence, physicians should routinely inquire about physical, sexual and psychological abuse as part of the medical history."

- ii. **Law Enforcement:** A study was conducted by Lawrence Sherman in 1982, The Minneapolis Domestic Violence Experiment, to evaluate the effectiveness of various police responses to domestic violence calls in Minneapolis, Minnesota; including sending the abuser away for eight hours, giving advice and mediation for disputes, and making an arrest. Arrest was found to be the most effective police response. The study found that arrest reduced the rate by half of re-offending against the same victim within the following six months (Maxwell, Garner and Fagan, 2001).

In the replication studies which were more broad and methodologically sound in both size and scope, arrest seemed to help in the short run in certain cases, but those arrested experienced double the rate of violence over the course of one year (Schmidt and Lawrence, 1993). Generally, it has been accepted that if the understood victim has visible (and recent) marks of abuse, the suspect is arrested and charged with the appropriate crime.

- iii. **Counselling for Person Affected:** Since marital violence is major risk factor for serious injury and even death, and women in violent marriages are at much greater risk of being seriously injured or killed; counselling intervention is much needed. Initial assessment of the potential for violence in a marriage can be supplemented by standardized interviews and questionnaire which have been reliable and valid aids in exploring marital violence more systematically. Counsellors and therapists should also make the distinction between situations where battering may be a single, isolated incident or an ongoing pattern of control.

If it becomes apparent to the therapist that domestic violence is taking place in a client's relationship, the therapist must explore options with the client; and also refrain from blaming the partner or telling the client what to do. It is unreasonable for the therapist to expect that a victim will leave her abusive spouse solely because she disclosed the abuse. The therapist should respect the victim's autonomy and allow her to make her own decisions (Lawson, 2003).

Therapists must be aware that supporting assertiveness by a battered wife may lead to more beatings or even death. Even in few cases, when the wife leaves because of life-threatening situation, therapists should not relax their vigilance after a battered wife leaves her husband. Some data suggest that the period immediately following a marital separation is the period of greater risk for the women. Many men will stalk and batter their wives in an effort to get them to return or punish them for leaving.

- iv. **Counselling for Offenders:** The main goal of counselling for offenders of domestic violence is to minimize the offender's risk of future domestic violence, whether within the same

relationship or a new one. Treatment for offenders should emphasize minimizing risk to the victim, and should be modified depending on the offender's history, risk of re-offending and criminogenic needs. The majority of offender treatment are conducted in a group setting with groups not exceeding 12 participants. Groups are also standardized to be gender specific (Colorado Domestic Violence Offender Management Board, 2010).

According to Roberts (2002), anger management alone has not been shown to be effective in treating domestic violence offenders, as domestic violence is based on power and control and not on problems with regulating anger responses. Anger management is recommended as a part of an offender treatment curriculum that is based on accountability, along with topics such as recognizing abusive patterns of behaviour; it also requires a great deal of personal change and the construction of a self-image that is separate from former abusive while still being held accountable for it. Any corresponding problem should also be addressed as part of domestic violence offender treatment, such as problems with substance abuse or mental illness.

## 6. Recommendations

1. Comprehensive and extensive premarital counselling should be given to intending couples on how to manage their marital relationship.
2. There should be public enlightenment through the mass media on the negative effects of domestic violence against women, especially wife battery.
3. Religious leaders too should vigorously teach against marital violence in their places of worship.
4. Youths should be encouraged and taught to detest and not immitate brutish treatment of wives around them.
5. Medical professionals are in position to help abused women; after physical treatment, they should refer them to counsellors and psychotherapists.
6. Punishment given to grievously offending husbands should be publicized, so that it can serve as deterrence to others.

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## FOR A REFORMULATION OF A LOCAL SOCIAL INTERVENTION

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### Abstract:

This article presents the theoretical and practical framework of the project “Capacitate to Qualification and Innovation in Social Networks of Minho-Lima” (CQIRS in Portuguese) within the Social Network Programme, in the local context of ten municipalities. It is addressed the theoretical approaches of local development and of the programme that have been in the basis of CQIRS planning and framing. Therefore, the main purposes and actions of the project are exposed, as well as the development, operationalization and evaluation of some actions concluded, but also the stadium of the remaining actions.

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**Key Words:** Local Development, Social Networks, Planning, Partnerships, Participation

### Introduction

The contemporary world is increasingly characterized as a complex society, multifaceted and woven by the speed of change, by the significant advances in science and technology, and in particular by increased access to information. These mutations altered sociocultural patterns and increased the degree of uncertainty of individuals and organizations, but there are also significant pressures and changes in terms of social policies, resulting from the territorialization of the social policies, which makes the local action is increasingly seen as the center of the struggle against poverty and social exclusion (Carvalho: s.d.; Neves, Cruz & Silva, 2010). It is important to understand from the beginning that the local is assumed "... as a nexus of structuring social relations, meaning with this that the local activity takes place before specific social processes at the local level" (Neves, Cruz & Silva, 2010, p.21) and that local action has an impact on social initiatives strategically developed by social actors/organizations involved in social projects and initiatives on a local basis, whether formal or informal, developed independently or networked (Neves, Cruz & Silva, 2010).

Based on this framework of local action, it appears that before the problems of global causality, particularly the attempts to adjust economic globalization to socially responsible globalization, in order to mitigate situations of inequality, local development was acquiring more relevance the current social and political debate. This fact resulted in the passage of a purely quantitative model of society, based on a centralized paradigm and imposed "from above" (top-down logic) to a new development model, decentralized and imposed in a bottom-up logic, qualitative and adapted to the specificities of each territory in which the vital impulse from the development starts from the local communities (Monteiro & Ribeiro, 2008). This logic of horizontality and from below (bottom-up) underlies the organizational structure of the Social Network Programme (SNP - which will be discussed later), appearing as one of their biggest obstacles to implementation, as it collides with dominant organizational cultures strongly structured in a vertical hierarchical logic, including government agencies (Instituto da Segurança Social, 2005).

In this repositioning of local action, we witnessing the introduction of the network approach as a form of organizational analysis, which is advocated by some theorists as a new organizational

configuration, which would contribute, on the one hand, for investment cooperation, learning, dissemination of information, knowledge and innovation, and on the other hand, emerging as a strategy for public and private organizations face the current contemporary environment of turbulence and uncertainty (Andrade, 2006). To this end, the network concept can be defined as "... an organizational arrangement formed by a group of actors, which are articulated, (...), in order to perform complex objectives and unattainable in an isolated way. (...). It is a space in which it produces a shared vision of reality, articulate different types of resources and conducts themselves in cooperative actions "(Alves, Cheta & Martins, 2008, p.13).

In the context where we are witnessing the emergence of trends of decentralization and territorialization in the fight against poverty and social exclusion, based on the principles of accountability and mobilization of the whole society, and in particular, based in the developing of active local social policies by municipalities, we assist to the creation of the SNP through the Council of Ministers Resolution no. 197/97 of November 18<sup>th</sup> (Resolução do Conselho de Ministros N.º 197/97). It is assumed as a social development program anchored a territorialized vision of social problems and resources, defined "[...] as a forum for coordination and pooling of efforts and based on open membership by municipalities and public entities or private nonprofit organizations willing to take part on it" (Resolução do Conselho de Ministros N.º 197/97, p.6253). The SNP also presents itself, as an alternative based on an integrated and systemic approach of social development (promotion of social well-being) and one of the "new social policies", proposing a rupture with more traditional forms of intervention, breaking with the assistance and remedial intervention views, as with a conception of social policy focusing only on the mobilization of redistributive measures (Instituto da Segurança Social, 2005).

This reconfiguration of social policies, particularly with the SNP, implies that there is a change in the totality of local contexts, encompassing multi-level and inter-sectorial governance mechanisms, for the creation of unique responses in each territory, contributing largely to competitiveness, employment and social inclusion. It then becomes necessary to recognize the importance not only of the process of decentralization and territorialization, but also of territorial cohesion, which introduces a paradigm shift in the understanding of the relationships between societies and their respective territories and implications arising from them in the formulation of public policy. The strengthening of the territorial cohesion, with the construction of Europe under the Lisbon Treaty and the evolution of the process that led to the "European Territorial Agenda" allowed to strengthen the strategic importance assigned to the territory, especially in the context of European structural policies, placing it on the political agenda, the virtuous triangle of economic, social and territorial cohesion. Several strategic documents [Treaty of Lisbon (2007); Territorial Cohesion Green Paper (2008); Barca Report (2009)], which show as future investments issues of territorial cohesion, highlighting the following key aspects:

- i) relevance of the territorial dimension in the development and initiative and organization capacity of territorial base for the full mobilization of resources, not only on issues of economic efficiency (income and economic growth), but also for the fight against poverty and social exclusion (social inclusion);
- ii) understanding of the territorial cohesion, as a way to invest to improve cooperation between the territories, in coordination between different public policies and the extension of participation of the actors of wider scope through partnerships in a territorial basis;
- iii) link the territorial cohesion to the harmonious development and the reduction of disparities and inequalities between different regions. (Instituto da Segurança Social, 2012).

Thus, the SNP gets progressively relevance under current conditions, even in the following of the current crisis that exacerbates poverty and social exclusion, as it increasingly recognize the importance of local specificity in the problems demonstrations and resolution. To this end, it establishes a direct relationship with the new forms of local governance that facilitate the integration of territorial policies and the implementation of European perspectives for the future of territorial

cohesion, which causes it to assume as a program for social innovation in response to contemporary challenges (Instituto de Segurança Social, 2012).

In this sense, the implementation of this program intends to promote the coordination of efforts between the organizations in intervention in the social area at the local level so that each community be able to, based on local partnership, set priorities and plan, in an integrated and participated way, the assessment, the ways and strategies to meet the needs of citizens. For such are defined for this program the following objectives: promotion of integrated development through the mobilization of institutional and community resources in order to ensure greater effectiveness of local social responses; lead to a participated assessment and planning and promoting coordination of interventions in a local level (Instituto da Segurança Social, 2004). In short, the "Assessment Report of the Network in Practice Project" (2012, p.4) emphasizes that "the transversal goal of the Network is the double activation, ie activation of beneficiaries by adopting policies of inclusion, but also activation «of the contexts and response agents", ie agents' activation of beneficiaries. Following this logic, the Network is an instrument of leverage synergies and coherent actions for the development of an Active Welfare State".

From an operational point of view, and in order to accomplish the objectives outlined for the SNP, local players of each "Social Network" (SN) should assume an understanding of the local reality based on a logical and integrated and participated planning, through the production of the following strategic documents: (1) Social Diagnosis (SD), which act as support prioritization and definition of intervention strategies aimed at social development of municipalities, as defined in (2) Social Development Plan (SDP) and effected through (3) annual or biannual Action Plans (AP) (Alves, 2010). In addition to this more localized impact of the program, it is essential that the supra-municipalities platforms systematize the information produced at local level, in order to contribute to a better understanding, at the national level, of the various territorial realities and the consequent definition of policy measures more consistent with it (Atouguia, 2010).

Therefore, one of the main innovations of the SNP is to implement the strategic, territorialized and participated, planning, either as support to social interventions that intend to be, more integrated and effective, or even as inducing of social policy measures increasingly less defined by sectors and increasingly responding to the multidimensionality of the existing problems, always in a partnership logic and as a key instrument in local development processes (Carrilho, 2008; Carlos & Gonçalves, 2002). To this end, the territorial participated perspective empower the citizen and makes him/her, agents of their own change from the resources at its disposal, run by community forums in a participated and democratic way (Martins & Santos, 2002, cit by Becker, Edmund, Nunes, Bonatto & Sousa 2004).

According to Castro (2000), the importance of the SN is based on the fact that it constitute itself as an innovative and facilitating instrument to the operationalization of active social policies, to the extent that it promote the creation of multidimensional plans, integrated in a territorial basis, and not only favors complementarity, coordination and the adaptation of nationwide policies to local problems and needs, but also promotes the mobilization and coordination of a broad partnership and participation of the recipients of the programs and projects of social intervention, in a logic of empowerment.

Following the mentioned above, together with the assumptions recommended by SNP, the "Capacitate for Qualification and Innovation of the Social Networks in Minho-Lima" Project (CQISN-ML), which integrates the ten SN's of Viana do Castelo District, as the key target of the project actions. The SN have resources, conditions and distinct capabilities, and the CQISN-ML intends to establish a balance between them, promoting the exchange of experiences, dissemination of good practices, harmonization of some working methods with the ultimate goal of creating harmonized languages/practices and facilitate cooperation and joint work done by partners. This option falls in:

- the interest in developing a broader perspective on the problems identified in the Minho-Lima territory, particularly on social problems, and promoting the flow of information, problem solving, deepening of sectorial issues and harmonization of initiatives according to an more innovative and entrepreneurial optical.

- the recognition of the program as a more innovative policy measure and with greater capacity to produce positive impacts on the social intervention of the municipalities, understanding the problems as multidimensional and located in specific territories, and the development of territories always associated with the well-being of the population.

Thus, based on existing resources, potentials and concerns of each SN as local development structures, the aim of the conception of this project was to open fields of social intervention skills capacitation, valuing the diversity of points of interest in an inter-municipal scale and promote concerted supra-municipality planning that allows a better organization of intervention, monetization of resources and a balanced distribution of responses and social facilities through engagement of the Minho-Lima Supra-Municipality Platform.

### **Project Framework**

In a logic of strategic planning, the CQISN-ML Project (promoted by the Polytechnic Institute of Viana do Castelo (IPVC) and the Association for the Incubation Center of Technology Based of Minho (IN.CUBO), in partnership with the ten municipalities of the Minho-Lima territory) was designed based on documents from an international, national and regional level, among which stand out: Europe 2020, North 2015, ON2 - Operational Programme for Northern Region Strategic Plan and Supra-Municipality Platform.

The “Europe 2020”, serves as guidelines for the project priorities established to promoting smart (knowledge and innovation), sustainable (efficient use of resources) and inclusive (ensure social and territorial cohesion) growth. It also fits in one of the seven flagship initiatives, which are expected to promote a “«European platform against poverty» so that social and territorial cohesion could ensure a wide distribution of the benefits of growth and employment and that people experiencing poverty and social exclusion can live with dignity and participate actively in society.” (Comissão Europeia, 2010, p.6). In general, the aim of this project involves the assumption of the opportunity to stimulate/sensitize local stakeholders for effective partnership inter-network work, based on assumptions and harmonized procedures, as a strategy of promoting a inclusive society and territory.

The “North 2015: Competitiveness and Development - A Strategic Vision”, fits into the “Strategic Priority III - North Equality: Promoting Social Inclusion and Territorial”, which have three main objectives: the promotion of an inclusive society and equality opportunities; improving equity in access of citizens to key public goods and services; revitalization of degraded areas of major urban centers and of the rural areas in strong population decline and valorization of the resources of the territories. Based on these purposes, it has been outlined the definition of development opportunities for each segment of the territory (Action 1 - Assessment and AP), predicting to identify and value their indigenous resources and capabilities, whether it be natural resources, natural heritage, traditional products, regional tourism offers, or technical and business expertise (Action 4 – Prospective Planning Electronics Platform).

Finally, under the “ON2 - Operational Programme in the Northern Region”, specifically the Priority Axis V - Governance and Institutional Capacitation”, where investment in strengthening Networks is a bet of local agents (IPVC; IN.CUBO and Inter-municipal Community of Alto Minho), aiming to strengthen the institutional tissue of the Alto Minho, through the creation and promotion of networks and partnerships for development, promoting economies of scale and resource efficiency in the management and implementation of structuring projects for the region.

Following the mentioned above, the project fits into the paradigm of promoting local development, with mechanisms of territorialization (local specificities) and integrated planning, not only an economic perspective, but also as a result of conflict relations, competitiveness, cooperation, negotiation, partnership and reciprocity between various actors involved. With this in mind, the project emerged in order to develop new intervention perspectives on the problems identified in the Minho-Lima territory, to promote the circulation of information, the deepening of sectorial issues and harmonization of initiatives, instruments and languages, and according to a more innovative and entrepreneurial perspective.

The focus on empowerment (capacitation) of the SN’s of the territory, while primary recipients of the actions of the Project stems from the recognition of the potential of the program

which is inherent, as more innovative policy measure and with better capacity to produce positive impacts on the landscape of social intervention organizations, regardless of their legal nature, as problems are view as multidimensional and located in specific territories, and the development of the territories always associated with the well-being of the population.

Given the above, the project aimed to invest in skills and innovation of social intervention, valuing the diversity of points of interest conjectured in a inter-municipal scale, and promoting a concerted supra-municipality planning, and promoter of a better intervention organization, monetization of resources and a balanced distribution of responses and social equipment's through the engagement of the Minho-Lima Supra-Municipality Platform. Thus, it's implementation aims at sensitizing agents of local political power for the need to establish an effective network organization so that there is social cohesion within Minho-Lima and that the community keep the trust from its members and thus achieve better results (increase of sustainability, competitiveness, development and territory uniformity), with lower costs and greater benefits.

Therefore, the CQISN-ML Project built, in a shared way, the vision that guides the developments, ie "Qualification and innovation of the Social Networks in Minho-Lima, an optical assembly of efforts oriented to the cohesive developing of the territory and resolution/minimization of priority problems". Its mission is to promote the "sustainable competitiveness of the Minho-Lima territory, in a municipal and supra-municipal way, empowering and mobilizing synergies leading to the construction and consolidation of a common understanding between the organizations of regional and local power, and living forces of the community, for the priorities of sustainable and integrated development."

Thus, consistent with the vision and mission, we defined a set of guiding principles of action: capacitation, knowledge and innovation management; articulation, participation, cooperation, transparency, integration, subsidiarity, gender equality, equity, sustainability (social, environmental and financial), and strengthening organizational and operational dynamics of SN's. Thus, from the resources, potentialities and concerns of each local SN, as a structure of local development promotion, the project aims to contribute to this in a perspective of participation, integration and articulation, as development must arise with processes with a focus on own territory, putting in contact the various views of the same reality, in order to be reached and articulated and consensual solutions, based on negotiation and compromise among all local actors, blurring centralization logic (Cunha, 2008; Goudsmit & Blackburn, 2001).

### **Objectives and Actions of the CQISN-ML Project**

Taking into account this background, the project is structured through an innovative and coordinated intervention, assuming the existence of dynamic processes of decision and intervention, based on criteria of efficiency, effectiveness and opportunity, seeking complementarity of the choices made. To this end, we outlined a set of goals and actions based on the principles of capacitation, qualification and innovation of SN's, in order to provide all the protagonists of information (strategic planning), instruments and tools that optimize their intervention and focus in new approaches in the development of the local populations and regions.

Thus, were delineated for the project the following objectives: i) to empower and enhance the SN by harmonizing procedures (social empowerment), ii) fostering organizational and social entrepreneurship iii) Innovate on how to solve the social problems based on entrepreneurial approaches, and promote supra-municipality concerted planning. Later, it were outlined five actions, which are presented next.

#### **Action 1 – Assessment of Social Networks of Minho-Lima**

The first action of the project was mostly conducted through the application of semi-structured interviews and Focus Group, to the agents of local political power and the core executive (NE's) of the ten SN's, targeting a diagnostic assessment of the dynamics underlying the network intervention and consequent identification of needs.

This action was completed early in the project and allowed the outline of a set activities for the proper development of it [ie, training of professionals in various areas (methodologies of strategic/participated planning); awareness of local political power to the philosophy and

methodology inherent to SNP; importance of the production of documents (SD, SDP and AP) as benchmarks guiding intervention and provision of technical reports)].

### **Action 2 - Capacitation for Analysis**

This action aims to provide specific training to local political power agents and professionals that belong to the NE's of de SN's, particularly in the area of strategic planning, seeking to optimize the existing tools and instruments. To this end, we planned a set of integrated activities, based on the principles of capacitation, qualification and innovation of SN's, in order to provide all the protagonists of information (strategic planning), instruments and tools (eg creation of an electronic platform) that optimize their intervention and focus also on developing new approaches to social and local populations and regions.

Throughout the development of the project, in a recursive and dialectical relationship between theory and practice, training workshops were developed with the technical, sensitization workshops with stakeholders in the local political power to the importance of networking, as well as support and effective monitoring by the project team to SN's.

We believe that with training in specific areas, prioritized from the needs in conjunction with the knowledge/skills arising from individual and collective interventions and from the identification of training needs. For this it is important to note that to ensure the consolidation of change, the project team draws up different strategies ranging from the organization of workshops and follow-up monitoring of the construction of SD and SPD, the organization of initiatives for reflection on the reconfiguration of the role of social networks in integrated social intervention, particularly within the SNP. Thus, we emphasize that one of the important results achieved in this action with the intervention of the project within Minho-Lima involves the construction/consolidation of inter-dynamic networks, by facilitating the construction of strategic documents for each municipality, in a participated logic and inclusive of the citizens.

### **Action 3 - Capacitation for Intervention**

The responsibility for this action is of one of the promoters of the project (IN.CUBO) that through this operation aims to strengthen the capacity and articulate intervention and management of local and regional institutional tissue in the social field, create and promote a regional platform for social entrepreneurship, mobilize knowledge, resources and change agents in the Alto Minho. For this, it will be develop a set of activities that enables it to perform the mapping of entrepreneurial initiatives in the 3rd sector through a study conducted by the Institute for Social Entrepreneurship, the creation of a scholarship of social initiatives and support the entrepreneur.

### **Action 4 – Prospective Planning Platform**

This action intends to create open system of cartographic nature that allows the creation of an social observatory for a territory geotagging by thematic area (health, employment, social responses, among others). It aims to create synergies and constant updating of information to decision makers about the reality of the territory, in a municipality and supra-municipality level, as well as access to consensual guidelines with the SN's, in regarding some supporting documentation for the construction of strategic documents. The development and construction of this system was carried out by the informatics department IPVC in partnership with the Project Team and the SN's professionals and is already with its base complete, loaded with information and statistical indicators, and can be accessed through the website [www.altominhoemrede.pt](http://www.altominhoemrede.pt). The maintenance/updating of this prospective platform planning requires effective coordination and, simultaneously, the assumption of autonomy/accountability on the part of each of the SN's in this process.

### **Action 5 - Monitoring and Reporting**

Finally, this action is transversal and follows the entire project development, in order to promote actions and initiatives that publicize it (ie. in the media). It is also accompanied by the Monitoring Committee, the Project Team and the Rapporteur Expert and Rapporteur, which makes a positive assessment of this project so far.

At the present, the Project Team is concluding scientific articles, as well as the production of a final book about the methodologies and with reflections, for and about, the social intervention, integrated and innovative, practices.

### **Conclusion**

In a logic of strategic planning, is essential that local development is promoted through processes of territorialization in the identification of the problems, solutions and resources in a participated way, enhancing the coordination of policy measures at national level (Castro, 2002). To this end, the CQISN-ML Project is based on the premise that local development gains more relevance and strength, if it starts from the territory specificities in the prioritization of needs and strengths, as well as in the progressive investment in partnerships, considering that communities must experiment new forms of joint and combined efforts, setting priorities and planning, in an integrated and participated way, strategies that meet the needs of the territories (Instituto da Segurança Social, 2004). So, the CQISN-ML Project, in an integrated and innovative method, worked with SN's, the philosophy and methodologies of participated projects, which is expected to be adopted by the SN's as common practice in networking.

Thereby, the project watched the progressive involvement of the elements of the NE's in the participated construction of the strategic planning documents, through the strengthening of inter-network dynamics, as the professionals of different SN's applied facilitation in nearby municipalities and vice-versa, working in a inter-municipality partnership. There has been a gradual transition from a situation of refusal to a situation of self-accountability of each SN's, as well as the consolidation of the process of integration and sense of belonging by stakeholders. This results, rather than indicators of candidacy, give confidence and credibility to the current process, evidenced by progressive mobilization and involvement of partners in networking.

Thus, we conclude that all the work done so far, constitutes intervention in a structured and integrated manner, in the raising of awareness for the strategic planning, harmonization of tools based on a participated planning, capacitation for a proactive intervention in organizations and the social entrepreneurship. Since this is an innovative, unique national (and international) which is based on training the various SN's that integrate the NUTS III, we welcomed the results achieved, but we are aware that the great challenge we are facing now, is focuses on ensuring continuity of developments already initiated beyond the end of the time horizon of the project.

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## YOUTH POLICY OF THE REPUBLIC OF KAZAKHSTAN

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### **Abstract:**

The youth is one of the public and active segments of the population, having important potential weight in the long term. Regularity of modern world development depends on allocation of youth policy in independent activity of the state. "Young professionals have to find the place in processes occurring in the country, take the most active part in future construction" — this phrase from the Addresses of the President of the Republic of Kazakhstan of January 27, 2012, shows the importance of youth and stimulates youth to high achievements in study and work.

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**Key Words:** Youth, youth policy, youth employment, interests of youth, importance of youth

Conception of development of public youth policy of Republic of Kazakhstan leans against fundamental ideas and principles of Universal Declaration of human rights, Resolutions of a 50/81 General Assembly of the UNO the "World program of actions on development of young people 2000 to", Convention, is about rights for a child, Constitution of Republic of Kazakhstan, Addresses of President of country of people of Kazakhstan "Kazakhstan - 2030. Prosperity, safety and improvement of welfare of all Kazakhstan".

To involve citizens in active participation of citizens in social and economic and socially political life of the country it is necessary to provide youth with quality and available education. Today Kazakhstan achieved considerable successes in all spheres of activity and including in the field of education, thus being successfully integrated into universal processes. Important training of specialists of technical and professional education has value. Now 894 educational institutions function. The contingent of being trained-603,8 thousand people. Training is carried out on 185 specialties and 495 qualifications. Annually the number of educational institutions of technical and professional education increases (table 1)

The table 1 - Dynamics of height of network of organizations

	2004	2005	2006	2007	2008	2009	2010
	2005	2006	2007	2008	2009	2010	2011
colleges	458	475	510	530	542	560	569
lyceums	309	312	320	318	324	322	325
total	767	787	830	848	866	882	894

In the field of higher education and after education in higher educational establishments are certain certain actions, envisaging providing of competitiveness of institutions of higher learning and going into the international market of educational services.

Passing is carried out to the three-level model of preparation of specialists : a bachelor is a master's degree - doctor Ph.D based on principles of Bologna declaration (Great Charter of Universities).

In March, 2010 Kazakhstan officially joined the Bologna declaration and became the 47th full member of the European zone of the higher education. 60 Kazakhstan universities signed the Great Charter of Universities.

In 16 higher education institutions preparation of doctors of Ph.D in partnership with leading foreign higher education institutions is conducted.

For the purpose of strengthening of requirements to quality of training optimization of higher education institutions is performed. From 176 higher education institutions in 2005 where more than a half of a network was made by private higher education institutions (108 units), in 2010-2011 academic year function 148 (the national - 9, international - 1, state - 32, incorporated - 16, private - 76, not civil - 13 and 1 higher education institution with the special status (Nazarbayev university)).

Training is carried out to them in the Kazakh, Russian and English languages on 520 specialties.

The new model of financing of training of the students, being realized through JSC Financial Center is created.

Annual growth of volume of the state educational order for training with the higher and postgraduate education is provided (table 2).

The table – 2 Dynamics of growth of the state educational order

<b>Year</b>	<b>2004-2005</b>	<b>2005-2006</b>	<b>2006-2007</b>	<b>2007-2008</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>2010-2011</b>
People (thousand)	25710	31210	32490	33190	33490	34840	35425

In 2005-2009 the volume of the state educational order made 2500 places on preparation of masters. For 2010-2011 academic year state order volume on a magistracy made 2719 (including 80 places are allocated to the Kazakh national university of arts).

Today the magistracy took the place in system of postgraduate education, as the specialized part, having a main objective training for research, scientific and pedagogical and administrative activity. Security of higher education institutions with doctors and candidates of science on the average makes 45,5%.

In an education system of 98% of pupils it is captured by obligatory medical examinations. Security with medical offices in system of secondary education makes 77%, in technical and professional - 94%, in the highest - 75%. Security with doctors in the organizations of secondary education makes 65,5%, nurses – 87,7%, school psychologists – 67%; completeness the medical equipment – 62%. The youth in Kazakhstan has the right to free medical care, within the established guaranteed volume free of medical care.

After education there is an employment question. In the Republic of Kazakhstan in recent years testifies to increase in number of busy youth at 2,8% and decrease in level of youth unemployment. In structure of employment of city youth wage labor - 52,3% prevails. Level of youth unemployment is higher in the cities - in 2010 it made 12,5%, at country people - 7,2%.

The state according to the Law of the Republic of Kazakhstan "About population employment" provides measures for employment assistance to target groups of the population, including youth aged till 21 year, to pupils of orphanages, orphan children and children without parental support, aged till 23 years.

According to the strategic plan of the Ministry of Labour and Social Protection of the population youth and women are allocated in separate categories. Separate measures for assistance of effective employment of youth, vocational training of the unemployed according to requirements of a labor market, the organization of public works and to youth employment on temporary workplaces in a framework of "Youth practice" are realized, fairs of vacancies are carried out.

5,9 thousand young citizens took part in public works aged till 21 year, including 33 pupils of orphanages, orphan children and children without parental support, aged till 23 years and 199 pupils, students.

With assistance of bodies of employment finished vocational training and retraining of 4,0 thousand young citizens aged from 16 till 24 years (including 2,0 thousand - inhabitants of rural

areas), from them 1,0 thousand – graduates of the organizations of education. From total number of the youth which has finished training, 3,3 thousand people are employed, opened own business – 113.

Within implementation of programs of youth policy in the Republic of Kazakhstan all conditions for active participation of citizens in social and economic and political life of the country are created.

It should be noted that the number of the youth organizations which implementation of programs of youth policy in the Republic of Kazakhstan promotes, annually increases and increases a share of the youth which is taking part in their activity. Today, youth number in Kazakhstan makes 29% of the population, these are 4 835 750 people, from them 22%, 1 063 865 человек take part in activity of the youth organizations which number makes more than 720.

For timely identification of active youth, for attraction them to active participation in life of the country regional and republican events are annually held: Youth congresses, All-republican forums, collecting an army asset, meetings of leaders of student's youth, mass patriotic actions, conferences, competitions, games, round tables and set of other actions.

### **Conclusion**

Youth - the most valuable and unique resource of any society, a basis of its further existence. And further support of youth in its formation and development, creation of conditions for integration of young generation into society – was and remains an important state task.

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## SUPPORTING SOCIALLY EXCLUDED ROMANY (GYPSY) PARENTS IN PROVISION QUALITY PARENTING

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### Abstract:

The very aim of the presented text is to formulate goals and themes for the methods of social work with socially excluded Roma families in the Czech Republic. My suggestions are based on the interviews which I conducted with 17 experts (social workers, Roma pedagogical assistants, Roma activists, teachers and clerics). I talked with them about the living conditions of socially excluded Roma families. While in my previous articles I addressed the analysis of the interviews and described how our conversation partners perceived the performance of parental functions, now I would like to address the implications of the research results for the practice of social work. The reason for the formulation of the principles and methods of social work in the Roma families is very important. Effective social work with the families could be prevention of child removal.

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**Key Words:** Parenting, Social Exclusion, Romany, Family Centre, Social Work

### Introduction:

The very aim of the following text is to *formulate goals and themes for the methods of social work with socially excluded Roma families. In this paper I enlarge on a study whose basic results I have published formerly.* In the background research study, I focussed on analysing interviews conducted with 17 experts (social workers, Roma pedagogical assistants, Roma activists, teachers and clerics) with whom we talked about the living conditions of socially excluded Roma families. The aim of the research was to provide an answer to the question: *“In what ways are parental functions in socially excluded Roma families ensured?”* While in my previous articles I addressed the analysis of the interviews and described how our conversation partners perceived the performance of parental functions, now I would like to address the implications of the research results for the practice of social work.

While being aware that our research relied “only” upon the expertise, experiences and opinions of workers who are in professional contact with families of the type in question and therefore do not necessarily describe objectively the living conditions of socially excluded Roma families, I will now ponder the significance of the suggested conclusions for the potential of children from these families to integrate into the majority society. I will also explore what this means for the formulation of goals and methodology of social work.

The paper is divided into three chapters. In the first one (The performance of parental functions as a precondition for social inclusion of children) I return to the basic results of the research and I formulate possible influences of the studied lifestyle on social inclusion of children. The second chapter (The formulation of goals of social work in the context of research findings) then closely follows from the first one and contains a formulation of goals which, on the basis of the research, can be considered adequate for social work with socially excluded Roma families. In the third chapter (How to realise the set goals: suggestions for practical social work) I consider how to meet the goals in question.

In the following text I recapitulate on the results of the referred research and ponder on the possible implications of the observed state of affairs for social inclusion of children of the families concerned.

### **Basic care**

The primary characteristic of socially excluded Roma families is material deprivation (Navrátil, Šišláková 2004). It manifests itself in a lack of finances, inadequate housing conditions, insufficiencies in hygiene and last but not least, inappropriate nurture. As a result of these conditions, six-year-old children from these families are below the norm set for accepting a child into the first grade. Even if they are accepted, their social integration – both among his/her peers and in relation to meeting requirements imposed by the school system – is hindered. As far as their peers are concerned, effects of stigmatisation are probable, relating to the standard of clothing, personal hygiene etc. In relation to meeting school responsibilities, problems may be caused by cramped housing conditions, as well as insufficient and inadequate nourishment that might impede the psychological and physical development of the child. Limited conditions for the provision of basic care are probably among the main factors that both in the short and the long term reduce the potential of Roma children to integrate (Sirovátka 2003).

### **Ensuring safety**

The Roma child living in a family affected by social exclusion is confronted with considerable threats from its surroundings (Navrátil, Šišláková 2004). Not uninterestingly, the parents reinforce the child's presumption (stereotype) that the surrounding (mainly majority) world is dangerous. The parents of these children often strengthen their own cultural identity by rejecting the majority culture. A feeling of security and safety is encouraged by an emphasis on (social) belonging to the family and community. In other contexts it became apparent, however, that belonging to the Roma community is regarded in an ambivalent manner – alongside the mentioned emphasis, it is, in certain situations, denied and glossed over. We believe that the feeling of security and safety that is thus imparted to children can be effective at a young age. In the long term it can be a source of tension and uncertainty. These originate in the question "Where do I really belong?" There does not seem to exist a satisfying answer to this question, particularly for the adolescent Roma. To have access to the opportunities of modern society can be seen as beneficial, but it means adopting elements of thought and behaviour that are, in fact, those of the majority (which have been, however, marked by his/her parents as dangerous). To be a good Roma (particularly in the cultural meaning of the word) could be good from the point of view of the possibility to continue the correct (family, traditional) line, but at the same time it means renouncement of the above opportunities. Both can be seen as good and evil (suitable/unsuitable). Both choices bring with them the necessity of sacrifice.

The feeling of security built on the foundation of rejecting the majority lifestyle (culture) can, of course, be an obstacle to the integration of the Roma child even at a young age. Mistrust that he/she may harbour against his/her classmates, teachers etc. may lead to a mutual, albeit groundless intolerance (Navrátil 2000).

### **Affection**

In the families described, children are an important value. Parents have a strong emotional bond although it manifests itself differently to the relationship between parents and children in majority families (Navrátil, Šišláková 2004). It is marked by a more frequent physical contact between the mother and child, spontaneity and higher emotiveness (Šimíková, Bučková and Smékal 2003). From the point of view of the child's integration, this type of relationship to parents is a good foundation but it can have its dark sides. Matějček (1989) labels the downside of a strong emotional bond as blind love. It is not unusual in these families that as a result of this "love" towards the child, fulfilling his/her obligations (such as getting up for school) is not demanded. Such an emotional bond may become an obstacle in the child's integration and a source of his/her failures.

### **Stimulation**

A strong emotional bond and an emphasis on the social cohesion of the family (community) afford the child a very early integration into the life of his/her primary group (the family and the Roma community). The children from these families develop their social skills that are, even before starting school and in some ways, more developed than non-Roma children of the same age (Navrátil, Šišláková 2004). The character of stimulation also supports the early development of motor functions.

The weak aspect of stimulation in such families is the small emphasis on routine and on fulfilling obligations. In consequence, the scant social control that suited the upbringing of children in traditional Roma communities is a model that tends to cause problems in the present day. Children also have a low level of stimulation in the area of intellectual development. Children from socially excluded Roma families often do not learn how to use writing implements, parents do not read them stories and do not teach them to play games. The consequences of insufficient linguistic stimulation are very serious. Children do usually learn the basics of the Czech language with the help of their parents but their knowledge remains elemental (also as a result of the parents' limited knowledge of the Czech language). The forms and character of stimuli supplied to the children by their parents in the families described can be identified as one-sided. From the point of view of children's integration into the school environment, the source of numerous barriers are lower intellectual abilities in particular, and especially an insufficient command of the Czech language as well as an inadequate ability of abstraction.

### **Education and guidance**

The interpretation of time distinctly influences upbringing in socially excluded Roma families. Time does not play the part of an organisational element and so children are not led to carry out activities at regular intervals. The climate of upbringing is marred by disorganisation, low motivation to overcome obstacles, lack of planning and also xenophobic orientation. The children are disciplined to only a limited degree and rather haphazardly, boundaries are set for them unsystematically and impulsively, and they are very poorly encouraged to respect authority, even parental. If children are punished this tends to be physical punishment, not well thought through, setting few educational goals. As concerns social inclusion of these families, the notion of education is an evident cause of many barriers. While at school and later at the work place, capability for a systematic and punctual activity with the ability to postpone the satisfaction of one's own needs and readiness (strength) to struggle with obstacles is expected, children from socially excluded Roma families are not guided towards any of these competencies (Navrátil, Šišláková 2004). It is in this respect where I suppose these parents remain most in debt to their children.

### **Stability**

In the previous section we touched the theme of the stability of life in socially excluded families in a practical glimpse at the style of upbringing. The material deprivation of the families, however, also affects stability, as we have already mentioned in "Basic care". In addition to these themes there is, however, another important factor that must be addressed in the context of the stability of the family, and that is a collective (family) identity. The Roma living in the families described are "attached" to their family by a tie of a strong family cohesion. It gives them particularly the benefit of mutual solidarity, feeling of belonging and the already mentioned identity. The downside of the social cohesion of the family is a more distinct social control, and a lower degree of individual freedom and autonomy. In the process of cultural and social transition, the cohesion of Roma families undergoes relativisation (along with other elements of traditional culture). As a result of the modernisation processes, Roma communities face "anomisation", losing their own identity without gaining a new one.

Paradoxically, neither the strong family cohesion nor its gradual infraction facilitate integration of Roma children from socially excluded families into the school environment. The strong family cohesion in the context of Roma culture may encourage attachment to other values than, for example, education. And the weakening of family cohesion automatically carries with it other constructive values, which could become the pillar of a new identity and lifestyle (Navrátil, Šišláková 2004).

On the basis of the interviews conducted, aware of our limited knowledge, we decided to formulate goals for social work with/in Romany families that, in the context of our findings, seem to be appropriate. I assume that other studies (of which this one is part) will contribute to a more comprehensive view of the necessary goals and possibly of adequate forms of social work. Within this text I shall take only a first, initial step.

### **Formulation of primary goals of social work in the context of the research findings**

The survey highlighted the reality that in socially excluded Roma families, parental functions are in a number of aspects performed in a way that does not contribute to the support of the social inclusion of the children. Therefore it seems meaningful that social workers should set as one of the main goals of their assisting efforts the facilitation of performance of parental functions, or facilitation of the development of motivation and skills for the performance of these functions. In order that the realisation of this goal in the interaction between cultures could be successful it is, however, necessary to stress that all activities must be accompanied with sensitivity towards the Roma culture and a fair understanding of this culture, as well as understanding of the culture and institutions of the majority society.

### **Formulation of secondary goals of social work in the context of the research findings**

In the life of socially excluded Roma families, xenophobia plays an extraordinarily noteworthy role. It is passed on to children as a self-evident element of life's philosophy and is meant to become part of their identity. If internalised, it is probably an important source of social detachment from the majority. In the context of deteriorating traditional social and cultural models of the Roma minority this can be seen as a power that actively works against integration and that hinders many Roma men from accepting a new (majority) lifestyle. Therefore I consider weakening the xenophobic stance as a secondary goal of social work with socially excluded Roma families.

### **Specific goals**

Facilitating development of motivation and skills for the provision of basic care: A lack of finances and material deprivation are indisputably a limitation to the realisation of parental functions. Maximisation of family income should therefore be an obvious part of the strategy of fighting social exclusion (by means of social benefits<sup>136</sup> and job mediation). In addition, it is then important to afford the Roma the knowledge and skills they require to live permanently in their flats (as legal owners or tenants). It is also necessary to turn attention to the encouragement of parents' motivation towards an interest in delivering basic care to their children. It is possible to deliver care even under difficult conditions that thus need not automatically lead to the rejection of this function. It is a considerable help, for example, to develop the skill of economic management of money and other income available to the family. It is also necessary to educate Roma mothers about the importance of regular meals and a daily routine for their children. I emphasise that I consider the development of their motivation to implement this knowledge and skills as being of the highest importance (Navrátil, Šišláková 2004).

Facilitating development of motivation and skills for ensuring safety: Racism and other negative reactions to Roma are, unfortunately, a reality in the Czech society (Navrátil et al. 2003). Therefore I consider it a symptom of the defence mechanism (cultural, social and psychological) that the Roma families in question impart to their children the assumption that the majority world is unsafe. The children's feeling of security and safety should, however, be increasingly more often derived from their awareness of their own value (as the value of an individual with all of his/her idiosyncrasies, including cultural ones) rather than from a feeling of injustice. By this we are not advocating against the traditional bonds of the Roma with their family and community – on the contrary. But it is a question of weakening the pattern of fear and rejection of the majority present in the parent's upbringing style. Social workers are now presented with the task of finding activities that will support a constructive interaction between Roma and the majority society so that the vicious circle of mutual distrust is broken. This means the invention of such activities that will help replace adverse experiences, prejudices and stereotypes with a healthier picture of an alternative coexistence.

Facilitating development of motivation and skills for stabilisation of affection: It is an advantage of the families in question that parents feel a strong emotional bond towards their children. Children can benefit from regular physical contact between mother and child, spontaneity and greater emotiveness, and their maturation can be stimulated. Social workers should ensure that this strong emotional bond does not become a hindrance to the children's fulfilling school and other obligations.

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<sup>136</sup> With the current stress on the prevention of misuse of benefits.

The main goal for social workers in this matter will therefore be to facilitate the development of the quality of relationships between parents and children, part of which shall be setting expectations from the children and requiring the completion of tasks without this being perceived as an encroachment on their mutual emotional bonds. Special attention must be paid to helping mothers in the acknowledgement of demands of school and their systematic insistence<sup>137</sup>. In this respect, we consider it challenging to find ways whereby the husband (a traditional symbol of authority) is also drawn into cooperation in questions of education.

Facilitating development of motivation and skills for stimulation: One deficiency in the area of child stimulation appears to be a low level of social supervision that children are subjected to in the family. An important goal for social workers must, therefore, be to support parents in the setting and obeying of family life rules and in the defining of the child's respective role. We shall address this issue in the following paragraph. Children receive an inadequate degree of stimulation especially in the area of intellectual development. The goal of social work in this direction should be the development of motivation and skill of the parents in guiding the children in the use of writing implements and their assistance in other forms of stimulation for the children (reading stories, playing games etc.). Stimulation of linguistic skills is a thing apart. Parents can only play such a role as their own language level allows. Social workers should, at the very least, strive to assist to motivate the parents in taking interest in the child's linguistic competence. It is inevitable to consider an external form of support in this area (a specialist teacher, coaching, preliminary school year, a Roma teaching assistant, volunteers etc.). An important task is the support of the family in the acceptance of the need of school education as a source of life chances and success, and the motivation of parents to support their child in meeting the demands imposed by the school system.

Facilitating development of motivation and skills in systematic education, guidance and stability of the family environment: The social workers' goal in this field shall be to support parents in creating a structured living environment for their children. The reinforcement of the overall motivation of the parents towards a structured organisation of their own lives (this is related, for example, to their job performance) is essential for such an activity to be worthwhile. Also important is the setting of boundaries and distribution of competence among individual family members and the shaping of the internal family social order and value patterns. In this context, it is important to point out that social work must be sensitive in character and cannot be understood as paternalist. Such social work must stem from a deep knowledge of the Roma cultural tradition but must also reflect the current requirements set by the environment that the members of the Roma community and its particular individuals encounter and that they must master.

In the following chapter I explore how to realise the goals for social work that I have identified on the basis of the qualitative research of the life situation in Roma socially excluded families. First I comment selected organisational and methodological aspects of the establishment of the "Family Support Centre" and then I discuss a proposal for a project that I formulate as one of possible activities of the Centre, aiming at alleviating social exclusion of families and at preventing social exclusion of children living in these families. I conclude with remarks on assessing the life situation in Roma families, with respect to the specific nature of the process of life situation assessment in the case of minority clients.

### **Family Support Centre**

A successful realisation of the proposed goals presupposes the presence of a team of social workers in the very Roma community that faces the risk of social exclusion. A convenient way of securing the presence of such teams in these communities is the establishment of Family Support Centres that shall provide low-threshold social services.

These Centres should serve as a base for qualified social workers whose job shall partly involve fieldwork (active search for clients). Each social worker should supervise a limited number of families, so as to be able to establish a good relationship with them and work with them on an intensive basis (tentatively less than 30 families).

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<sup>137</sup> This aspect of parental responsibility is notably linked to motivation of children to education. The attitude of mothers (as persons who deliver education) is, therefore, highly important.

The main task of the social worker should be to carry out qualified assessment of the life situation in the families, design the plan of intervention, mobilise resources, supervise intervention, coordinate actors of intervention (a teacher, psychotherapist, volunteer, doctor etc.) and facilitate the synergy of their mutual action, complete intervention and evaluate its results (see Holland 2004).

It would be beneficial if the social workers were endowed, in respect to granting social benefits, with the same competencies as social workers in city districts and municipalities. Therefore it would be convenient if the Centre was founded at least in cooperation with a city district or municipality which would also set up an office in the Centre (with at least a periodic presence of a mandated official).

In addition to professional counselling, it is beneficial to carry out also other activities targeted at various groups in the Centre (couching children, leisure-time activities for children, concerts of local groups, civic counselling, debates on topical issues, self-support groups etc.). Such activities shall help incorporate the Centre in the life of the community. Not all activities must necessarily be ensured by social workers with a university degree. It is beneficial to recruit volunteers, as well as experts on various problems (a psychotherapist, specialised teacher for children with learning difficulties, speech therapist etc.) to carry out a number of activities (Havrdová, Zamykalová 2001).

It seems appropriate to finance the Centre's activities from multiple resources, with wages being paid by the given city district. The coverage of wages by local authorities is legitimate (problems of the local district are being addressed) and, compared with the coverage of labour costs from grant resources, it guarantees the desirable stability of the personnel. Fluctuation of the personnel in this type of organisation is counter-productive because it impairs stable relations between the social worker and the families he/she supervises. Other (e.g. grant) resources can be used to cover costs of specific projects which the Centre's personnel may identify as beneficial and desirable.

### **Comments on the methodology of life situation assessment among members of minorities**

In the context of our thoughts on social work with Roma families we have so far stressed particularly the aspect of social exclusion. However, we must also take account of the fact that the status of the Roma in Czech society is that of a minority group. Therefore we must ask what challenges the so called minority reality (Navrátil, Musil 2000) presents to the methodology of social work.

Some authors believe that social work with members of minority groups can proceed from the traditional methodology (Devore, Schlesinger 1999) which, however, must be adapted in such a way as to respect the minority reality. For example, the seemingly obvious techniques such as establishing eye contact, establishing informal atmosphere, and encouraging free expression of personal worries can, in many cases, go against long-established cultural norms of a number of groups. Some authors aspire to such adaptations, seeking to reformulate traditional procedures with consideration for specific groups (e.g. Šišková 2001).

In the context of social work with the minorities, adequate assessment of the life situation becomes an especially delicate challenge. Navrátil and Musil (2000) pointed out that the assessment and interpretation of the client's life situation are decisive for the social worker's choice of methods through which to facilitate the client's social functioning. The social worker's approach to assessment is then largely governed by the paradigm which he/she explicitly or implicitly endorses<sup>138</sup>. For the most part, advocates of individual conflicting paradigms of social work do accept the presumption that the ultimate goal of social work is to balance the requirements of the environment and the client's ability to handle them (social functioning). However, they differ profoundly in their understanding of the determinants of this balance and the ways of establishing it. When assessing minority clients' life situation, their culture must be perceived as an important intervening variable.

Navrátil and Musil (2000) evaluated individual paradigms of social work in view of their contribution to handling problems of socially excluded minority groups. They state that each of the paradigms has its virtues and thus also its potential, nevertheless, none of them offers such an

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<sup>138</sup> On paradigms of social work see e.g. Payne 1997; Navrátil 2001.

interpretation of the minority client's life situation that would allow for a sufficiently complex understanding of the factors of his/her social functioning<sup>139</sup>.

For this reason, I will conclude with an attempt to formulate a broader complex of general factors and questions that must be taken into account when assessing the life situation of members of minority groups and facilitating their social functioning.

### **General points of departure for the assessment of the life situation of socially excluded Roma families**

It follows from the theoretical groundwork for the research (Navrátil 2003) and from other studies (Navrátil, Musil 2000) that in working with the minority client who may be at risk of social exclusion social workers should ask the following questions that refer to corresponding factors of social functioning, or to aspects of the client's life situation:

- What is the minority client's perception of his/her life situation and what problems does he/she himself/herself consider burning?
- What demands imposed by the environment does the minority client find difficult to meet as a result of his/her different culture, and with what problems does it present him/her? What demands is the minority client able to handle either despite his/her different culture or, on the contrary, owing to it?
- What demands imposed by the environment does the minority client find difficult to meet as a result of his/her alienation from and distrust of the majority society and its institutions? With what problems does it present him/her? Whose requirements does the minority client accept with trust and thus strives to meet?
- With what stereotypes about his/her physical and cultural particularities is the minority client confronted and with what problems does it present him/her? What does he/she put such stereotypes down to and what role in his/her life does he/she ascribe to them? What stereotypes might the client face in contact with social workers and what influence can it have on his/her ability to handle the situation?
- Access to what opportunities and possibilities to satisfy the minority client's needs is hindered? With what problems does it present him/her? What specific needs resulting from the values of the minority culture are difficult or risky to meet for the minority client? What opportunities and possibilities to satisfy needs does the client consider accessible?
- Does the minority client face difficulties when claiming his/her wishes and requirements and with what problems does it present him/her? Where does he/she, without any problems, turn to regarding his/her claims and wishes and why?
- Does the minority client suffer from any psychic or relationship problems resulting from his/her experience of a minority status and of a "double identity" and from feelings of alienation etc.? Does this client have any psychic problems that are not directly related to him/her belonging to a minority group? How do both types of psychic problems impact his/her ability to cope with what his/her environment expects of him/her?
- Are there any positive qualities ensuing from the client's cultural traits, personal experience or minority status that could become a source of his/her better social functioning?

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<sup>139</sup> The paradigm marked as "*therapeutic*" is, according to the authors, characterised by an emphasis on the individual and the process of his/her inner maturation. However, it completely abstracts from the structural nexus of the problem and does not provide any guidelines for handling practical problems (e.g. ensuring social benefits). The second paradigm, marked as "*socially reformist*", regards people's problems from the perspective of disadvantaged groups; its notion of social work is highly ideological; and it deflects from the client's perception of the problem and of possible solution. The third paradigm, marked as "*counselling*" is characterised by an emphasis both on individual needs and interpretation of the situation, and on the determinants of the problem within the client's social surroundings; it respects the client's perception of the situation and of the problem. However, the counselling paradigm does not provide a perspective on and methods of intervention into the structural circumstances of social exclusion of minorities.

- Are there any very unique, yet important features of the minority client's life situation that need to be taken into account in solving his/her problems?
- What information, findings, services or experience does the minority client need in order to be able to overcome limitations and make use of potential advantages ensuing from his/her life situation? Are these particular pieces of information, findings, services and experience available? Is it possible to mediate them? If not, what needs to be done for it to be possible? Should anything be done in order for the minority client to be able to make use of these opportunities offered to him/her to improve his/her social functioning?
- Do the services that I, as a social worker, can offer to or mediate for the client match his/her own idea of adequate assistance? Or do they impinge upon any cultural or attitudinal constraints? Is it possible to adapt the services that I offer to these possible constraints?

The above list of questions is only a broad outline (each of the factors of social functioning could be broken down and specified in further detail), yet at the same time it is rather itemised. Let this complexity and openness to a more precise breakdown be understood as a warning against mechanical application of the questions above as a "list". Instead, I recommend to ponder the questions, and the concepts from which they stem, over and over, and search for both their pros and the risks associated with their implementation in practical social intervention into the life situation of the minority client.

### **Conclusion:**

In conclusion, I find it necessary to remind the reader that this article is part of a series of qualitative studies whose ultimate aim is to identify adequate goals and instruments of social work that could facilitate the fight against social exclusion of Roma families. In this article I brought the first evaluation of the results of a partial research which was presented in the first part of this book. I discussed basic conclusions of the research and formulated possible influences on social inclusion of children. I suggested goals which, on the basis of the research, can be considered adequate for social work with socially excluded Roma families. In the concluding part of the text I outlined possible ways of realising the suggested goals.

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## SOME FUNCTIONS OF ELLIPSIS IN RELIGIOUS TEXTS

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### Abstract:

Ellipsis is the non-expression of sentence elements whose meaning can be retrieved by the addressee<sup>(140)</sup>. In grammatical analysis ellipsis is a term used for a sentence, where for reasons of economy, emphasis or style a part of the structure has been omitted. Using ellipsis can restrict possible readings, express otherwise ineffable meanings, clarify discourse functions and establish rapport between the addresser and the addressee.

**Key Words:** Elipses, Religious texts

### Preliminaries

Ellipsis is the non-expression of sentence elements whose meaning can be the addressee. It is the shared information that allows the addresser retrieved by to omit out things that have been said, or hinted at earlier. In grammatical analysis, ellipsis is a term used to refer to a sentence where, for reasons of economy, emphasis or style, apart of the structure has been omitted, which is recoverable from the scrutiny of the context. For further information see: Halliday, 1994; Quirk et al, 1985; Crystal 2003; Hendrikins, 2004; May, 2005; Bertomen, 2005; Hardt, 2005.

In literature on Arabic, ellipsis is preferred since it shortens discourse and makes it easily learnt by heart and recited. This can definitely be noticed in poetry, speeches and proverbs. Following the trails of ellipsis, the meaning can easily be grasped without any modification and the style ,will be effective. ( 207 : 1980 ، مطلوب ) ; ( 83 : 1952 ، ابن جني ) claims that Arabs prefer brevity to prolixity because the former leads to understanding whereas the latter to misunderstanding.

Although ellipsis is a highly pervasive phenomenon in natural languages, its function has largely remained a mystery. Using ellipsis can restrict possible readings, express otherwise ineffable meanings, clarify discourse functions and establish rapport between the addresser and the addressee.

In this paper, I argue that ellipsis has more interpersonal functions than merely meeting the address's wish to reduce his efforts. As such; this paper limits itself to the exploration of such functions as realized in verbal sentence in the religious book called "Nahjul-Balagha" (henceforth N.B.) where in the elided forms contribute different functions than their full counter forms do.

This paper is structured as follows. Section one introduces the book of "Nahjul- Balagha" (The Peak of Eloquence). Section two highlights the conception of linguistic ellipsis in classical Arabic<sup>(141)</sup>. Section three is dedicated thoroughly to the analysis of various functions of ellipsis explicable in N.B. And section four rounds the paper off with conclusions.

### 1. Nahjul-Balagha (The Peak of Eloquence)

Nahjul-Balagha is the most reputed collection of the utterances Ali Bin Abi Talib (A.S.) (The Prince of Believers). The book was compiled by Sharif Razi towards the close of the 4<sup>th</sup> century of Hijra. This book is divided into three categories: firstly, sermons and decrees, secondly, letters and communications and thirdly, maxims and counsels.

<sup>(140)</sup> The terms addresser /addressee are used here to refer to the speaker/writer and the listener/reader respectively.

<sup>(141)</sup> The term Classical Arabic refers to the language known to us from about the 5<sup>th</sup> century A.D. Arabic language has been the medium of expression for the works of poets, historians, theologians, philosophers and other scholars. Furthermore, it is the language of the Glorious Quran.



### sleeping saw –I-him

To sum up, these elements may combine to form the following basic verbal sentence patterns: VS, VSO, VSOO, VSOOO, VSOC, VSA, and VSOA. For further information, see: (Al-Aswad, 1983; Bakir, 1983; Beeston, 1986; Cantarino, 1975; Hassan, 1963; Wright, 1955; Khalil, 1999)

### 3. Data Analysis

In this section, I will postulate that ellipsis has more functions than merely meeting the addresser's wish to reduce his efforts. Though this paper is a model-free, I will examine the functions in line with the observations originating with Hendriks and Spender (2005) who suggest that the elided forms contribute function and restrict possible interpretations and allows us to say things with that are otherwise ineffable, ambiguate/disambiguate discourse structure, serve as a rapport device that could be relevant to dialogue systems etc. moreover, I will draw upon the findings of different linguists who propose different terms and definitions. See (Crystal, 2003; Hendriks, 2004; Bertomen, 2005; Hardt, 2005; May, 2005)

#### 3.1. VP Ellipsis

Arabic grammarians contend that the ellipsis of the lexical verb is rare if compared to the ellipsis of the subject and the direct object. Nevertheless, it can be elided alone with its subject. (الجرجاني، 1969)

The verb can also be elided either obligatory or optionally. The former is syntactically motivated while the latter is rhetorically/pragmatically motivated. In N.B., the vp is ellipited likewise in seventy-seven places to fulfill the following functions: (اللامي، 2001)

##### 3.1.1 Refusal

The verb along with its implied subject is ellipited in the following interrogative clauses, to express denial.

6) فعلى من اكذب أ على الله؟ فاتنا أول من آمن به؟ أم على نبيه؟

**Against whom I lie? Whether against Allah? But I am who believed in him. Whether against his Prophet?**

In the first example, the intransitive verb أكذب "lie-I" along with its first person singular masculine pronoun "I" is ellipited in the second and the third interrogative clauses since it is recoverable from the first interrogative clause where it is mentioned first.

The impetus behind the omission of the verb phrase is to drag the addressee's attention to the prepositional phrase على الله (to Allah) and not to any other clausal components. This is done to foster the act of denial and/or refusal. The addresser refuses to commit the sin of lying to Allah for whatever the cost may be since a man of faith like him holds lying in abhorrence.

##### 3.1.2 Proclamation

The verb phrase of saying is optionally ellipited in the following example:

7) ما يريد عثمان إلا أن يجعلني حملاً ناضجاً بالغرب : أقبل وأدير

**Ottoman just wants - he to make me like the water - drawing camel so that I may go forward and backward with the bucket.**

The omission of the intransitive verb يقول "says-he" in the second clause is recoverable from the linguistic context which presupposes the verb of saying. The interpretation of the elided vp depends on the mentioning of the verbs يريد "wants-he" and جعل "makes-he" where both insinuate the proclamation of the message which entails belittling of the person by instructing him to follow orders.

##### 3.1.3 Specification

This function is realized in the following example:

8) وعندنا أهل البيت أبواب الحكم وضيء الأمر

### **We, the family of the Prophet Mohammed, possess the keys of wisdom and the lights of prudence**

This example involves the omission of the vp أعني "mean-I" because the word أهل "people/family" is in the accusative case and stands for the direct object of the ellipted transitive verb أعني "mean-I". Such an ellipsis draws the attention to the specified noun phrase أهل البيت (lit. The people of the house) (Family of the Prophet: Ali, Fatima, Hassan, and Hussein) <sup>(142)</sup>. If the vp had been mentioned, the noun phrase would have not been at a focus.

#### **3.1.4 Reproach**

The vp is ellipted obligatorily in the following example:

9) قولاً بغير علم وغفلة من غير ورع وطمعاً في غير حق

**Will there be saying without action, overlooking without piety and coveting things not right?!**

10) وشوهوا بإعفاء الشعور محاسن خلقهم ، ابتلاءً عظيماً ، وامتحاناً شديداً واختباراً مبيناً وطمعاً بليغاً

**They deformed their morality by forsaking good sense and thus got severe trial, harsh testimony, affliction and painful judgment.**

Three verb phrases are ellipted in the first example. They are يقول "says-he"; يغفل "overlooks-he" and يطمع "covets-he". They are recoverable from the existing three accusative verbal nouns: قولاً "saying"; غفلة "overlooking" and طمعاً "coveting". The use of rhetorical questions along with the ellipsis of the verb phrases has a forceful style of expressing reprimand and rebuke.

The addresser reproaches ignorant and greedy people and impeaches their impiety.

As regards the second example, four verb phrases are elided obligatorily. They are: ابتلاهم "tries-he-them"; امتحنهم "tests-he-them"; اختبرهم "examines-he-them"; and محصنهم "judges-he-them" respectively. These verb phrases are recoverable from the non-omitted cognate accusatives: ابتلاء "trial"; امتحاناً "testing"; اختباراً "examining" and تمحيصاً "judging" respectively.

The morphology of these verbs involves tense, the agent, the action and the receiver of the action. All these grammatical phenomena are recoverable from the linguistic context. That is, tense is perfect, the doer of the action refers to Al-Mighty Allah and the receivers of the action are human beings. What remains then is the action. The action is best realized through the verbal noun, i.e. cognate accusative. This is because the verbal noun necessitates constancy and assiduity. The addresser neither concerns himself with the agent nor with the tense. Rather, he is concerned lucidly with the action. By omitting the verb phrase the action is then given due emphasis.

#### **3.1.5 Instruction**

This function is obviously illustrated in:

11) فصدماً صمداً حتى ينجلي لكم عمود الحق

**Keep one enduring till the right of Truth drowns upon you.**

The verb phrase اصمدوا "endure-you pl" is obligatorily ellipted, and is reiterated from the two repetitive forms of the accusative verbal noun صمداً "enduring". Arab grammarians and rhetoricians assert that the expression of a command or an instruction is better expressed via verbal nouns than through verbs. This is because the expression of such a function is nurtured strongly through verbal noun: the force of which is extolled by pragmaticians and rhetoricians verbatim.

<sup>(142)</sup> See the different Prophetic Hadiths, concerning the sacred status of these people, as they are transmitted and quoted by various theologians and traditionists.

### 3.1.6 Invocation

In the example:

12) اللهم سقيا منك مجيبه مروية ... اللهم سقيا منك تعشب بها نجادنا

**O my Allah! Give rain from Thee with which our high lands get covered with green herbage.**

One can realize that the obligatory ellipsis of the verb phrase in the imperative sentence اسقنا "give rain-us" explicates the function of invocation. The addresser beseeches Allah to pour out rain because of the draught, aridity and a want of rain. The verb phrase is recoverable from the non-omitted verbal nouns, سقياً "giving/pouring rain". It is unanimously agreed upon by semanticists and rhetoricians that verbal nouns consolidate the expression of request or invocation. As such, this function is expressed via verbal nouns with a perfection and precision unequalled by the verb phrase.

### 3.1.7 Persuasion

This function is realized in:

13) فالله الله أيها الناس فيما استحفظكم من كتابه

**So remember Allah, O People, about what he has asked you in his book to take care of.**

14) عباد الله ، الله الله في أعز الأنفس عليكم

**O creatures of Allah! Fear Allah, Allah, in the matter of your own selves which are the most beloved and dear to you.**

15) العمل العمل ، ثم النهاية النهاية والاستقامة الاستقامة ثم الصبر الصبر والورع الورع

**Action! Action! Then look at the end the end, and remain stead fast stead fast. Therefore, exercise endurance, endurance, and piety, piety.**

In all these imperative sentence the verb phrases are obligatorily elided. These verbs are اتقوا "fear-you pl"; راقبوا "remember-you pl"; راعوا "comply with-you pl"; أحسنوا "do good-you pl" and أصلحوا "reform-you pl" respectively. The second person plural masculine subject pronominals are suffixed to the verbs. The verbs are recoverable from the existing accusative abstract nouns.

The addresser intends to persuade the addressee to fear Allah, to abide by the teachings of Islam which call for faith, righteousness and charity.

This function is executed through vivacious repetitive forms of the abstract nouns. Repetition is resorted to here to evoke a powerful emotional effect wherein the concept of persuasion is highly articulated and elaborated with vigour and vividness. Repetition is a discourse structuring device. Repetition is composed with a persuasive intent. It is one way to treat a marked structure with a special rhetorical effect that forces the addressee's attention onto the issue targeted. That is, repetition can be rhetorically effective only in attracting the addressee's attention to real arrangement which is located in the ideas and their logical organization. It not only expresses the argument, but it is the argument itself.

This can also be clearly seen in the letter by the addresser to his son Imam Hassan when the former was on his death bed:

16) (Fear) الله الله في الأيتام ، والله الله في الجيران ، والله الله في الصلاة ، والله الله في بيت ربكم ... والله الله في الجهاد  
**Allah (and) keep Allah in view in the matter of orphans... (Fear) Allah (and) keep Allah in view in the matter of your neighbors... (Fear) Allah (and) keep Allah in view in the matter of Qura'an... (Fear) Allah (and) keep Allah in view in the matter of prayer... (Fear) Allah (and) keep Allah in view in the matter of Jihad.**

Again, various verb phrases are ellipted in a discourse which revolves on the idea of fearing Allah and piety. The verbs, which have the graphic realization of أوصيكم "recommend-I-you 2n pl masc", are understood from the same repetitive nouns which all refer to Allah.

The repetition of the word "Allah" emphasizes the oneness of Allah ingeniously. In an argumentative discourse, Arab rhetoricians advocate the use of repetition as a highly stylized form

deployed premeditatingly to enliven the power of persuasion. Repetition does not ornament an already constructed argument, for without repetition there would be no argument. Repetition keeps the addressee to a definite viewpoint. It is rhythmic, cohesive and rhetorical, and as such, persuasion is the result. To learn more about repetition in Arabic argumentative texts. To learn more about repetition in argumentative texts, see (Johnstone, 1991)

### 3.2 Subject Ellipsis

The subject of the verbal sentence is ellipted in more than nine hundred places in N.B. The ellipsis of the subject occurs in passive sentences. (اللامي ، 2001 )

Early and modern Arabic grammarians purport that the passive in Arabic is a lexical operation bringing changes to the verb and does not consist in major transformations in the syntactic structure of the sentence. Arabic passives are, therefore, morphological in which the passive form of the verb is derived by internal vowel change. The occurrence of the passive verb triggers the absorption of the object into the subject position without having to move it. This does not result in thematizing the non-agent as is the case in many Indo-European languages. The object affected noun does not only occupy the position of the subject but also assumes all the diacritic features a subject usually takes. For further information, see: (Keenan, 1985; Kalil, 1999; Wright, 1955; سعد ، 1995 ؛ الاستربادي ، 1996

#### 3.2.1 Focus of Information

This function is realized in the following example:

17) بدنت من سلالة من طين ، ووضعت في قرار مكين ، ثم أخرجت من مقرك إلى دار لم تشهدها

**You were originated from the essence of clay and placed in a still place for a known length and an ordained time.... Then you were taken out from your place of stay to a place you had not seen**

This example encompasses four passive clauses. Each of them begins with a transitive verb which appears in the passive and has annexed to it first person masculine pronoun. This pronominal refers to the generic term "man" and stands for the deputy agent. The verb phrases are followed by various prepositional phrases which pertain to various adverbial functions. These verb phrases are: "were-originated"; "were-placed"; "was-taking".

The connotation of these verbs are associated with the omnipotency of Allah. The objective of the episode is how man is created by Allah and the high destiny offered to him in his intellectual, moral and spiritual nature by Allah a priori. Since these divine powers are well understood and retrieved from resources outside the text, the agent is elided and the object affected noun vis-a-vis "man" is highlighted and brought to focus.

Actually, texts are organized into units of information. Information can also be organized on the clause/sentence level according the principles of "new" and "given". The given information contributes the least to the development of communication, while the new contributes the most to the communication process. The participants in the message already share the given information while the new information enriches the addressee's knowledge: locates the focus and the climax within it.

Syntactically, the agent is associated with the given/old information, while the non-agent component is, generally speaking, associated with the new information. This account seems to be more defensible and readily applicable to Arabic rhetoric. That is why the addresser prefers to leave the agent unmentioned and in case he wants to mention the agent recourse is had to active voice since the active sentence and its passive counterpart have different focal areas. For rhetorical reasons, the noun with the nominal case is more important than the one with the accusative case. As such, the non-agent of the passive construction is awarded the nominative status in order to carry the highest degree of communicative dynamism and whose attraction can not be resisted. By emphasizing the non-agent, the addresser is presenting a non phoric component i.e. that is not received by the addressee from other sources. The emphasis is used to express what the addresser wishes to say about the already known pieces of information. To sum up, ellipsis is used unambiguously to mark the focus of information by avoiding repetition of given information. For a detailed discuss information organization, see: (Halliday, 1994; Lock, 2003; Greenbaum and Quirk, 2003.

### 3.2.2 Removing Readings

Though ellipsis often introduces ambiguity, it sometimes removes ambiguity that would otherwise occur. Well-attested examples are the following:

- 18) ليس فيهم سلعة أبور من الكتاب إذا تلي حق تلاوته ، ولا سلعة أنفق بيعاً ولا أعلى ثمناً من الكتاب إذا حرف عن مواضعه

**For them there is more worthless than Qura'an if it is recited as it should be recited, nor anything more valuable than the Qura'an if its verses are removed from their places. [It is misstated].**

- 19) كن في الفتنة كابن اللبون ، لا ظهر له فيركب ، ولا ضرع فيحلب

**In times of sedition, be just like the infant camel neither it is mounted nor is it milked.**

These examples consist of clauses that are structurally parallel wherein the subjects are not pronounced because they are passivized. In the first example, the book refers to the Glorious Quran. It is described as "is-recited" and "is-misstated". Yet, there is no specific reference to the agent who recites or misstates it. The disappearance of the subject signals a very restricted meaning. The addresser may, for reasons, related to personal attitudes, refers to a particular agent. This may lead to a mismatch between the addresser meaning and that of the addressee(s). The addresser wishes to say that the referentiality of the agent is irrelevant to the interpretation of the event and there is no such a need to delineate it. Ambiguity stems if the subject is overtly stated, because the addressee(s) will associate the event with that particular agent and not with somebody else. This will go in contradiction to all intents and purposes of the addresser. As a result opacity will prevail and the message will be totally prevaricated.

This surely applies to the elided agent of the second example wherein two passivized verbs are present. They are "is-mounted" and "is-milked". The episode talks about incitement to sedition. The addresser preaches people not participate in such a heinous event. The addresser endeavours to provide a symmetrical reading of the event as against asymmetrical one provided by the addressee(s). To remedy this, ellipsis provides the addressee(s) with clues about the coherence relations and instructs that the two readings of the same elided agent stand as contrastive topics. In that the addresser touches upon the boundaries of generalization while the addressee's reading relates to irrelevant definiteness.

### 3.2.3 Glorification

This function is triggered off in the following examples:

- 20) ألبسه الله ثوب الذل و شمله البلاء ، وديث بالصغار والقماءة و ضرب على قلبه بالإسهاب وأدبل الحق منه بتضييع الجهاد وسيم الخسف ومنع النصف

**Allah covers him with the dress of disgrace and the clothes of distress. He is kicked with the contempt and scorn [is abased], and his heart, is vetted with screen: (of neglect) [is blinded]. Truth is taken away to suffer ignoring [is perverted] and justice is denied to him.**

- 21) ندعوك حين قنط الأنام ، و منع الغمام ، وهلك السوام

**We call Thee when the people have lost hopes, cloud has been denied and cattle have died.**

The first example contains various clauses. The subject of the first clause is explicitly stated, i.e. Allah. The subjects of the other clauses are elided through passivization. The events in all these clauses allude to Allah as being supreme and exalted in might and divinity. However, part of politeness strategies the addresser refrains from referring to Allah by any vituperative epithets which describe Allah as the source of humiliation. These epithets are implicated in the following passivized verbs: "is-abased"; "is-blinded"; "is-perverted"; "is-wronged"; "is-denied".

Instead, the addresser believes unequivocally that Allah should be glorified and extolled. He adheres to the conviction that man should be close to Allah with propitiatory acts.

Following the same premise, the subjects of the second example are also ellipted through passivization. These verbs may involve the conceptions of "denial" and "extermination or death". The addresser again refuses to ascribe the negative attribute of non-providing to Allah. In

opposition, the addresser insists that all the divine bounties of Allah should be proclaimed by man. In line with the addresser's propositions, Allah is the sole provident who cares for human beings and all He has created.

In matter of fact, ellipsis can be recognized as a positive politeness strategy (Brawn and Levinson, 1987; Morand and Ocker, 2003). The researcher contends that the addresser is imbued with the desire to make any possible effort to avoid face or minimize the number and size of face threatening act (FTA), as much as he can. This entails that any verbal act needs to be properly mitigated in an attempt to minimize or even abolish face threat similar to what the addresser has done. The addresser has omitted part of the message to establish a relationship with the addressee and this helps soften the Face Threatening Act made. Since the addressee is Allah here, He requires the ceremonies of glorified respectful address. In this sense, then, the elided utterances express a subset of the meanings of their full counterparts. For a detailed discussion on FTA, see (Eelen, 2001; Flores, 1999; Trosborg, 1995)

### 3.2.4 Contempt

In the example:

22) عصي الرحمن ، ونصر الشيطان ، وخذل الإيمان

**Allah was being disobeyed, Satan was given support [triumphed] and Belief has been forsaken.**

The subjects of the parallel clauses are elided through passivization. The verbs are: عصي "was disobeyed", نصر, "was triumphed" and خذل "was forsaken". These deputy subjects are: الرحمن "Most Merciful"; الشيطان "Satan" and الإيمان "faith" respectively. The interpretation of the events contained in the parallel structures has negative connotations. Such connotations relate to disobedience, evil-doing, loss and going astray. The omission of the agent is pragmatically motivated so as to reinforce derogation and contemptibility.

Evidently, syntactic categories stem from pragmatic functions. A sentence may have alongside its literal sense some sort of illocutionary force indicated by the syntactic form(s). Accordingly, the addresser makes a direct appeal to the addressee by inviting him to agree with general proposition of the concept of contempt. This proposition is concealed in the ellipsis of the agent which is accomplished through adopting the passive voice. This proposition is reinforced by three parallel and semantically equivalent structures. By doing so, the addresser extends his tone from pure composition to pure denunciation. That is, he has pity upon wrong-doers since they do not know what the consequences are and at the same time he condemns the act of wrong doing since it leads to destruction. The worst imputation thrown out against them is worldliness.

This is not found in the plain sense of the syntactic structure, but it is rather implied so as ellipsis can assist the addressee(s) to meticulously read between lines. Following the strategies of successful communication, the addresser says nothing more than what is required. Through agent ellipsis the addresser tries to convey the force of contempt in order to bid the addressee(s) to stop doing an act that does not suit him/them.

### 3.2.5 Introducing Ambiguity

One of the obvious side-effects of ellipsis is that it can introduce ambiguity as in:

23) فأتيج له قوم قتلوه

**A group [was] overpowered him and [they] killed him.**

The episode here relates to the historical incident of the murder of the fourth Orthodox Caliph Ottoman. The incident is hinted at in the use of the passive verb أتيج "was-overpowered". The addresser neither imputes murder to Allah nor to the devil so it remains a puzzling issue. Ambiguity is then, so as to speak, recommended as a means of problem-solving.

This type of ambiguity seldom creates impeachment problems. This observation is not surprising from a communicative perspective. Since the addresser knows what meaning he wants to convey, his task is to select the form for that meaning. Only when the form is selected do alternative meanings become available. The purpose of the addresser, however, is not to leave the addressee in

uncertainty as to the meaning to be expressed. Because the addressee has to put in some effort to decode the message, when he succeeds the result is a positive attitude towards the addresser. That is why interpreting an elided form can really have similar effect as escaping a maze. In this sense, the purposeful introduction of ambiguity through ellipsis can be subsumed under another function, namely to contribute to a positive rapport with the addressee(s).

### 3.2.6 Semantic Extension

The addresser, sometimes, stretches out his discourse to extend semanticity in an exquisite lofty style. This is subtly expressed in the following example:

24) لقد صرفت نحوه أفئدة الأبرار

**Hearts of virtuous persons have been inclined towards him.**

The addresser does not limit the entity of the real elided agent of the verb "صرفت" "have been inclined". The meaning of the sentence here is that hearts of the some righteous yet unspecified agents were directed towards the teaching of Prophet Mohammad.

By not specifying the agent, it could have more than one specific reference. This is because the addresser does not invest the expression with reference by the act of referring. The addresser stands in fear of referring to Allah as one possible agent whereas there is another possibility of another agent who performs or fills in the agentive role. To avoid such a referential disparity, the addresser unmistakably branches out the narrow limits of agent co-referentiality. This in turn enriches the sentential semanticity and leaves conspicuous room for inference.

There is a central issue in discussing communication via language. In a matter of fact, linguistic expressions are merely indexical devices for conjuring up in the mind of the addressee some creative processes that might [italics are mine] correspond to the thoughts that the addresser has and wishes to convey. One can say that words, phrases, and utterances do not stand for things, thoughts, propositions, but rather have the potentiality of implying such entities so as the addressee(s) could recourse to referential reasoning based on the linguistic, non-linguistic and experiential cues. As such, semanticity will be expanded by fully remarkable unlimited insights and colourful tunes.

### 3.3 Object Ellipsis

This direct object is ellipped in more than one hundred seventy places in N.B. The ellipsis of the object contributes in the following functions (اللامي، 2001).

#### 3.3.1 Non-transitivity

The object is elided since it is felt as superfluous. In the followings:

25) هلك من ادعى , وخاب من افترى

**He who claimed (otherwise) [feigned] is ruined and who concocted [fabricated] falsehood is disappointed.**

26) إن سألوا ألحقوا , وإن عدلوا كشفوا

**When they were asked they gave nothing and when they reproofed they disclosed.**

27) ولعمر الله أردت أن تدم فمدحت , وإن تفضح فافتضحت

**By the Eternal Allah, you had intended to revile me but you have praised me, and to humiliate [disgrace] me but you have yourself been humiliated [disgraced].**

The direct objects are omitted in the first example. These objects are realized by the pronominal "hu" which denotes third person singular masculine accusative suffixed to the verbs: "افترى" "fabricate-past"; "ادعى" "feign-past". By omitting the objects, the addresser refers to the agents who were perished and disappointed as being slanderers and fabricators. The victimized themes affected by the actions of feigning and fabrication are not highlighted or brought to focus as if the above mentioned transitive verbs were made intransitive.

This applies to the second example wherein the addresser delineates the detestable characteristics of the hypocrites when they "سألوا" "ask past-they" and "عدلوا" "reproof past-they". If the addresser mentioned the direct objects of the two verbs "الناس" "people", the addressee would imagine that

the negative connotations might cling to the direct objects of the verbs and not to the agents who are the real target of bitter criticism. Again, the transitive verbs are dealt with as if they were not followed by the obligatory direct objects.

As regards the third example, the objects are elided for the same reasons state earlier .Here, the discourse is a letter sent to "Muaawiyah", the adversary of the addresser vis-à-vis Imam Ali. The addresser certifies that the agent of the sentence intends to perform the act of ذم "dispraise" while in fact he praises unknowingly .At the same time, the same agent, i.e. Muaawiyah, tries to perform the act of فضح "disgrace" but he himself has become the object of indignation. The addresser believes that it is not relevant to mention explicitly the entities that are affected by the act of dispraise and disgrace because if mentioned the addressees may cherish the illusion that these gruesome acts are associated with the recipient of the action and not with the doer of the action per se.

The addresser cannot afford to avoid the use of the transitive verbs تَذِم "dispraise-you" and تَفْضِح "disgrace-you". Yet, he uses them freely as being intransitive verbs without the overt realization of the objects; the addresser appears to have a perfect understanding of cause and effect. In his discourse, the addresser ascertains that primacy need to be given to the agents as they are involved directly in doing the ill-natured actions than to the elided objects themselves. The ellipsis of the direct object is called for to solidify the structure and lore of argumentation in which the addresser sets forth his claims which have been proven valid through ellipsis. The role played by ellipsis to instantiate the valid argument stems from the contention that arguments are not made fully explicit. Some premises are supposed by the addresser to be too well known to be worth being stated.

### 3.3.2 Economy

The notion of economy is one of the deriving forces behind ellipsis. This can be elicited from the following examples:

28) ولئن أمهل الله الظالم لن يفوت أخذه

**Although Allah gives time to the oppressor, His catch would not spare him.**

29) فإنما انتم كالمرأة الحامل ، حملت فلما أتمت أملصت

**You are like the pregnant woman who, on completion of the period of pregnancy delivers a dead child.**

The elided objects in these examples are recovered from the linguistic context. The object is realized in the first example by the third person singular masculine accusative pronoun "hu" suffixed to the transitive verb يفوت "spares-he". The accusative pronominal refers back to the direct object of the verb of the main clause أمهل "gives time-he", i.e. الظالم "the oppressor".

Economy is established when ellipsis is restricted to those cases where the elided material is recoverable by the addressee because some identical element is present in the sentence. Thus, economy is by itself sufficient to explain the presence of ellipsis

The ellipsis of the object in the second example is also recoverable from the linguistic context. The presence of different repetitive forms of the same lexeme حمل "pregnancy" makes it possible for the addresser to omit the direct object of the transitive verb أتمت "complete past-she". This elided object refers to حمل "pregnancy" which is in turn can be retrieved from the context .Aided by ellipsis; the addresser truly takes the stand that he should say no more than he must. He believes beyond all doubts that the addressee is able to recover the unpronounced material.

This also true of the following example:

30) فأما الناكثون فقد قاتلت وأما القاسطون فقد جاهدت وأما المارقة فقد دوخت

**I fought the preachers of the promise; I confronted wrong-doers and I dizzied the disobedient.**

Here, there are three elided objects. They are realized by the third person plural masculine accusative pronominal "hum" (them) suffixed to the verbs: قاتلت "fight past-I"; جاهدت "confront past-I"

and "make dizzy past-I" respectively. These objects refer back to the preceding nominal: الناكثون "the preachers of promise"; القاسطون "the wrong doers"; المارقة "the disobedient". The episode revolves around the struggle between the addresser and those outlawed wrong doers.

The standard explanation for ellipsis in these texts is in terms of the addresser's economy (or least effort). By not expressing sentence elements whose presence is not essential for the meaning of the sentence, the addresser would be able to communicate more with few words. Evidently, the addresser deploys ellipsis to signal the existence of a co-referential reading associated with the reduced syntax. This goes in line with the standard view on ellipsis according to which the full or the marked utterance is the default case and ellipsis or unmarked utterance is the special case.

### 3.3.3 Rhyming

The ellipsis of the object helps create rhyming as in the following example:

- 31) فاتقوا الله تقية من سمع فخشع ، و اقرترف فاعترف ، ووجا فعمل ، و حاذر فبادر وأيقن فأحسن و عبر فاعتبر ، وحذر فحذر ، وزجر فزجر ، وأجاب فأناب ، فراجع فتاب ، واقتدى فاحتدى ، وأرى فارى

*Fear Allah like him who listened (good advice) and bowed before it, when he committed sin he admitted it, when he felt fear he acted virtuously, when he apprehended, he hastened (towards good acts), when he believed he performed virtuous acts, when he was taught to take lesson (from the happiness of this world) he did take the lesson, when he was taught to desist he abstained (from evil), when he responded to the call (of Allah) he learned (towards him), when he turned back (to evil) he repented, when he followed he almost imitated and when he was shown (the right path) he saw it.*

The text, on the one hand, contains transitive and intransitive verbs. The actions associated with these verbs all denote and express piety and righteousness. They are performed by a pious person and as such the actions mirror the inherent characteristics of mysticism. The objects of the transitive verbs are elided and are recoverable from the linguistic and extra linguistic situations. Ellipsis here contributes towards giving heed to the religious actions contained in these verbs. Yet, the appearance of the object could have directed the addressee's thought to something else and consequently attention to these actions would be distracted and dispersed.

On the other hand, the appearance of the objects of these verbs can drastically spoil the rhyming scheme and bring up discordance. The text consists of rhyming sets of words which are related on the phonological, morphological, syntactic and semantic levels. The members of each set are combined to each other by the conjunction "faa": an inseparable sequential additive particle which has here the meaning of reason or cause. These verbs are:

Sami9a "listen past-he"; khasha9a "bow past-he"; ?iqtarafa "commit past-he"; ?i9tarafa "admit past-he"; wajila "fear past-he"; 9amila "act past-he"; Hathara "apprehend past-he"; baadara "hasten past-he"; ?ayqana "believe past-he"; ?aHsana "perform past-he"; 9ubbira "was asked-he" ?i9tabara "take the lesson past-he"; Huththira "was asked to desist"; Hathara "abstain past-he"; zujira "was asked"; izdajara "learn past-he"; raaja9a "turn back past-he"; taaba "repent past-he"; ?ajaaba "answer past-he"; ?iqtadaa "follow past-he"; Hathaa "imitate past-he"; ?uriyya "was seen"; ?araa "see past-he".

From a corollary observation of these rhyming graphic units, one can undoubtedly foretell that style is forcibly brusque and abnormally emphatic. These rhyming sets of verbs create luscious and rhetorically luxurious effect: such dyadic sets exhibit phonological patterning which often creates repetition on the morphological level which is in turn realizable within structurally parallel constructs. Such a network of interlinked structural paragon conveys sentiments and consequently adds to the connection between images and ideas a tinge of emotive heightening and reinforces the global themes. Such an authorial tone is subtle, complex and variable so as to give solidity to the rhetorical organization of cause and effect. That is to say, attention is paid to reconcile the rhetorical aims and their linguistic manifestations in a non ad hoc manner.

These eloquence canons could have been impaired if the direct pronominal objects are explicitly wedded to the verbs. The non-ellipsis of the objects in such a ritualistic context would have inescapably weakened the rhetoric of the text and as such the colourful appeal to the addressees be awfully inexorable and rhetorically suspended.

## Conclusion

To conclude, in this paper, I have identified the rhetorical functions of VP ellipsis in the religious book *Nahjul-Balagha* (The Peak of Eloquence). I have shown how Arabic VP ellipsis exhibits different functions which govern the VP construction and captures the fact that ellipsis in Arabic must be recoverable because knowing what has been deleted is necessary for understanding the ellipted components. What is to be recoverable is not the syntactic information only, but information about the functions performed by the syntactic expressions. It is the identity of these functions we have already looked for what the main functions are raised by the VP ellipsis.

I have also argued that the addresser's economy is not sufficient to explain the presence of ellipsis in N.B. I have discussed several examples illustrating that ellipsis can have many other functions than merely meeting the addresser's wish to reduce his efforts: ellipsis can convey non-expressed aspects of meaning or a subset of the multiple meanings expressed by the corresponding full form.

From a corollary observation, one can conclude that the ellipsis of the agent of the verb or the direct object of the transitive verb. This is because the passive structure explicates a focal area which is different from that posed by its active counterpart. Though the ellipsis of the lexical verb is rare in Arabic, the data show a few examples in which the elided lexical verb can encode various rhetorical functions. The paucity of the elided verbal element could be attributed to the contention that the verb represents the nucleus of the Arabic verbal sentence round which other parts collect. If the verbal element is elided, the sentence may lose its idiosyncratic typological features concomitant of it.

The ellipsis of the third component of the verbal sentence is centered on the direct object. Arabic transitive verbs are followed by accusative nouns or nominals. When these elements are elided, the verbs stop to function transitively. As such, the object loses focus, interest and importance. This type of elision, similar to other two types mentioned earlier, is rhetorically/pragmatically motivated. Arabic allows optional and obligatory ellipsis as a strategy to serve various discursual functions which all draw upon the context of discourse, the structure of the utterance and the intended meaning.

**Note:** The researcher adopts the Riza's translation (2004) of *Nahjul-Balagha*, but sometimes he modifies some of the translations to suit the analysis requirements.

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## THE PLACE OF THE CHURCH IN THE SOCIO-POLITICAL AND ECONOMIC LIBERATION OF NIGERIA

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### **Abstract:**

This paper sought to point out the glaring and undeniable need for socio-political and economic liberation in Nigeria. It centred primarily on the prominent role religion, particularly the Christian religion, can play in achieving this noble project and pursuit of socio-political and economic liberation. By adopting the historical method of documentary analysis, these issues were discussed under three broad sections. The first section attempted a clarification of the key concept, 'Church' as used in the paper. The second section discussed the reality of the need for socio-political and economic liberation in Nigeria, tracing it from the global via the Third World situations. The third section dealt with the religious factor in achieving the desired socio-political and economic liberation in Nigeria. This was based on the radical potency and capacity of the Church for confronting and transforming the unjust social order. However, maintaining that the Church as a body should not get herself involved in partisan political activism, the paper outlined some possible functions by which the Church in Nigeria can contribute immensely towards the desired liberation. These included prophetic denunciation of the oppressive mechanism; promoting programmes of raising social consciousness among the masses; practical alleviation of the conditions of the oppressed masses; peace building through positive reconciliation of the oppressed and oppressive members; and personal conversion of the ordinary man. The paper concluded that a combination of the task of spiritual and social liberation enhances the Church, more than any other institution, to influence the socio-political and economic life of the Nigerian society so positively as to restore justice, equity and peace.

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**Key Words:** The Church, Injustice, Oppression, Liberation

### **Introduction:**

A controversy whether or not the Church should involve herself or play any role in the socio-political and economic affairs of the society often arises. While some have argued on the one hand that much involvement may jeopardize the Church's spiritual status as the ecclesia (the called out people of God), others, on the other hand, have shown that being too distant calls into question the Church's self-understanding as the light, salt and moral beacon on the earth (Callaway 2011: 1). It will seem more appropriate to take a reconciliatory or midway position that while she is not expected to become a political organization, the Church has a substantial role to play in politics by acting as a principled guide, moral watch dog, spiritual counsellor and conscience to the society. The aim of this paper, therefore, is to establish the fact that implicit in the sacred and sacramental mission of the Church is her social ministry as an instrument of justice in an unjust socio – political system, an instrument of reconciliation and peace in a conflict and crisis- ridden society, as well as an instrument of freedom in an oppressive structure. The paper argues that participation in the process of socio-political and economic liberation for the realization of justice is a task, even a sine qua non' for the Church as both a religious and viable social institution.

The level of social injustice currently prevalent in Nigeria is reaching alarming proportions. The overwhelming upsurge of militant and resistant groups in Nigeria these days such as the Niger Delta Militancy, OPC, Bakassi vigilantes, the Boko Haram episode and other similar movements are commonly interpreted as demonstrations against the state resulting from the strains of injustice in the system and as signalling the level of discontent amongst the citizenry. That is why Nigeria has been chosen as our focus for proper analysis of cases of injustice in the socio – political system.

The historical method of documentary analysis is adopted in the paper. This involves the consultation of existing documents to validate the claims made in the work. The discussion is divided into three broad sections. The first section attempts a clarification of the key concept, 'Church' as the paper uses it. The second section discusses Nigeria's unjust socio-political and economic system and the reality of the need for liberation. Since the Nigerian situation is part of a universal problem, the paper traces its roots from the global via the Third World situations. The third and final section deals with the liberating role of the Church in achieving the desired justice in the socio-political life of Nigeria. It is maintained in the paper that the Church's socio-political engagement in the pursuit of justice should not be construed to mean that as a body it should be expected to leave the ministry of the Word of God to serve tables by getting herself involved in a violent revolutionary overthrowing of governments or even in partisan political activism. The liberating role of the Church should be such that will enhance her influence on the socio-political and economic order without jeopardizing her more spiritual and evangelistic vision and mission. Some possible functions are outlined by which the Church in Nigeria can contribute immensely towards the requisite liberation that would create the desired atmosphere of justice.

### **1. The Church: A Conceptual Clarification**

To pursue the objective of this paper, we need some working conceptual clarification of the term 'Church'. For a proper understanding, we need to make a distinction between two senses in which the term 'Church' is used in this paper. In one sense, the Church is used as an institution while in another sense it is used as an organism. The Church as an institution is defined by Van Reken as the "formal organization that sets out to accomplish a specific purpose" (Van Reken 1999: 198). According to him,

It is an agent which can do things; and can say things because it has its own voice. The Church as an institution has its own purposes and plans, its own structure and officers, and its own mission. It has its own proper sphere. In many ways it parallels other institutions, like governments or schools (198).

It is from this perspective that Iwe (1979: 88) understands the term 'Church' to mean an organised people of God, a spiritual and moral force to be reckoned with. The Church as an organism refers to "the church as the body of believers, the communion of believers" (Van Reken 1999: 198). The distinction between the two concepts of the Church is that while the institutional church refers to a unified organization, the Church as an organism refers to an aggregate of individual believers in which each Christian acts as a personal agent with a purpose and a call in God's plan. Based on this distinction, Van Reken goes further to distinguish between 'Church work' and 'kingdom work'. Church work, according to him, is the work that a Christian does as an agent of the institutional church, while kingdom work is the work that a Christian does in service of his Lord not as an agent of the institutional church but in his/her secular vocation or calling, whether as a plumber, a teacher, or a politician (Van Reken 1999: 198). This twofold meaning of Church reverberates in Jim Harris' view when he says: "By "church" I mean both the individual believer and the institutional entity" (Harris <http://thebigpicture.homestead.com/ChurchinPolitics.html>). It therefore means that in discussing the role of the Church in the pursuit of justice in the political system of a given country, we are invariably dealing with the part that both individuals and the corporate body have to play in the society.

## **2. Nigeria's Unjust Socio – Political and Economic System and the Need for Liberation**

### **a. The Global Connection**

The situation of injustice in Nigeria today has global foundations and international connections. Experiences in the world today, especially in the Third World, and particularly in Nigeria, will leave no iota of doubt in our minds that our contemporary society is grossly unjust and needs social justice and socio-political and economic liberation. An index of the prevalence of injustice is the global quest for justice evident in the increasing clamour for socio-political liberation in societies of the modern world. This is vividly expressed in Richard Shaull's significant observation that:

... in each country, a struggle is taking place between those groups, races and classes who have awakened to their inferior position and those who are reluctant to make way for a new order.

Consequently, it would seem that social revolution is the primary fact with which our generation will have to come to terms (Shaull 1968: 234).

The reality of the global revolutionary struggle is just the reverse side of the axiomatic and indisputable experience of oppression, domination, exploitation, injustice, inequality, violation of human rights, and other forms of inhuman and dehumanizing trends in many societies of the world. Each of these societies shares its particular extent and form of these experiences. The imbalanced relationship between the rich and the poor within and among nations is a disturbing concern of every sensitive and progressive member of the human community. The age-long and ongoing world-wide struggle for social, economic and political liberation, justice and equity is, therefore, a direct response to and proof for the unfortunate social realities of our time. Today, we hear calls on governments from social activists the world over for the immediate review of their unjust and oppressive structures. Moreover, protests, rampages, riots, students' unrest, women liberation movements revolutionary movements, industrial actions, and so forth have become so frequent that our age has been identified as the age of revolutions. (Shaull 1968: 233). Shaull has rightly observed, in this light, the presence of what he describes as "a growing tendency toward the emergency of messianic movements dedicated to the liberation of man from all that enslaves and dehumanizes him" (Shaull 1968: 234). The universal attention which this drive towards a revolutionary struggle is acquiring in our age is very indicative of the urgent need for justice and socio-political liberation both at the international and national levels.

A brief description of the general characteristics of the Third World experience pictures this need more vividly. The basic condition of a greater percentage of the Third World population is generally characterized by institutionalized and routinized poverty and powerlessness. This subhuman condition of the masses in the Third World is not the resultant effect of their slothfulness, natural incapacitation, or lack of physical, mental or moral prowess and ingenuity. It is rather induced poverty and powerlessness caused by impoverishment, deprivation, exploitation, oppression and repression. The consequence of this is the tremendous concentration of economic and political power in a few hands and a sharp division between the haves and the have-nots.

The impoverishment and underdevelopment of Africa as a part of the Third World, is a combination of both the external western forces and the internal forces of existing local regimes and oligarchy. Through the vehicles of colonialism, imperialism and racism, three dimensions of impoverishment and underdevelopment of Africa emerged in which the urgent demand for social justice and liberation is indisputable. These can be clearly and neatly delineated as: (i) the political dimension, (ii) the economic dimension and (iii) socio-psychological dimension

The political dimension of impoverishment is in keeping with Walter Rodney's description of how Europe underdeveloped Africa, which reveals that the present underdevelopment of Africa is directly resulting from, and perpetuated by the past negative and fundamentally destructive experience of European colonialism. As cited in Adegbola (1984: 64), Rodney explains that by taking over political power, Europe took over all that Africa had and thus, impoverished her. He shows that colonialism did not end with the flag of independence, but that after the Western colonial masters left, neo-colonialism took over. Africa today is still under this kind of local or internal colonialism – the ceasing of power and political domination by the local powerful few.

The economic dimension is the second dimension of impoverishment. The present state of affairs in the world market and international politics illustrates the issue at stake here. This is a commercial politics whereby Europe and America constitute themselves into an exclusive circle of economic control and determinism to ensure that the wealth of the Third World is transferred to the developed world (Adegbola 1984: 64). Charles C. West is right to have observed, in this perspective, that these international structures play the tune to which the poor nations dance. According to him, it is world markets and local oligarchs that determine the society economically. By lending support to the existing local regimes in the Third World countries, the international commercial system are able to undermine traditional values, influence and control and suppress all democratic aspirations and endeavours. The consequence of this situation, according to him, is that it creates a new kind of imperialism within the local commercial relationships of the nations in which injustice is perpetuated by the local regimes through their exploitation of the masses (West 1969: 23). This shows that

imperialism creates and maintains that form of human existence characterized by 'the survival of the fittest' from which a kind of selfish, inhuman and dehumanizing pursuit of wealth ensues.

The third dimension of impoverishment is the socio-psychological dimension. This reflects the employment of racism as a vehicle of underdevelopment. In the exclusive and more specific sense of the term, 'racism' describes conditions akin to those of the black Africans in former apartheid South Africa, Angola and Mozambique. This is a situation in which a particular group of people have been assigned or made to acquire or accept a false, substandard, in fact, sub-human image and identity imposed on them just because of their racial or ethnic group, contrary to their true human worth and essence. This false mentality and psychological stereotyping eventually determine the actual socio-political and economic relationships that exist in such a situation. This situation indubitably characterizes almost all Third World countries in one form or the other. Racism in a more inclusive sense and for our purpose here, however, would include tribalism, ethnicism, nepotism, classism, and so on. When possession of or access to political and economic power and privileges becomes the prerogative and exclusive reserve of particular groups on the basis of their ethnic group identification or other cleavages and at the expense of unity and equity, proficiency, competence and efficiency, impoverishment and underdevelopment are perpetuated.

Today, we should go a step further from Rodney's tragic account and begin to talk more of how Africa underdeveloped Africa than how Europe underdeveloped Africa. It is in line with this realization that Kofi Ellison writes:

The late Walter Rodney, the Guyanan historian wrote a book... titled:

"How Europe Under-Developed Africa". This is no longer absolutely tenable. The reality of the matter is that the major culprits of the destruction of Africa today, are AFRICANS themselves. To wit: our corrupt leaders and their bands of sycophant, President does-no-wrong minions. Major corruption in African officialdom continues to cause degenerative under-development on the continent. African countries have become the personal estates of official criminal gangs whose avowed aim is not the development of their countries, but rather the siphoning off of national resources into foreign banks.... Official corruption siphons off money intended for the development of Africa. Apart from making a lot of profit on the interest on investments accruing from Africa's stolen money, Europeans turn around and loan such money to Africa at exorbitant rates. Thus, in nearly all African countries today, we spend more money to pay the interest on such loans (not on the debt itself) than we do on Health and Education! In effect, African countries are played like a football. Whoever has the ball kicks it until it is near deflation! It is then pumped up by some foreign loans, and the process continues. Such has been our lot since independence (Ellison 2000: 1).

The demand for justice and socio-political and economic liberation from the disadvantaged sectors of African nations in recent times is the direct effect of the conditions of injustice, oppression and exploitation created by these three underdeveloping factors. This general situation in Africa and the entire Third World provides a fitting background from which we examine the Nigerian experience.

#### **b. The Local Condition**

A careful consideration of the socio-political, situation of Nigeria reveals that she is faced with the characteristic problems of injustice, corruption, inequality and other such like oppressive and exploitative vices. Whatever may be the peculiarities of the Nigerian experience, her condition reveals the same factors and dimensions of impoverishment and underdevelopment in Arica as a whole. At the first level, it is common knowledge that politically speaking, Nigeria has had and is still undergoing a painful experience of colonialism and neo-colonialism. The role of the external western colonialism in Nigerian political experience and its effect and impact on our contemporary political structure remain an indelible monumental experience in our political history. Nevertheless, it is common place knowledge that since independence in 1960, Nigeria suffers from "internal colonialism" worse than it had suffered from the external western colonialism many decades ago. Today, a small group of rich and powerful fellow Nigerians maintains its power and wealth at the expense of the misery of millions of the population (Uchegbue 1989: 206). The result of the 1991 census puts Nigeria's population at 88,514, 501, while the 2006 census, fifteen years after, puts it at

140 million (Anonymous 1997: 7. See also BBC NEWS <http://newsvote.bbc.co.uk/mpapps/pagetools/print/news.bbc.uk/2/hi/africa/6246057.stm>: 1). Of this teeming population, the 2004 publication of the National Economic Empowerment and Development Strategy (NEEDS) reveals what it describes as “a startling paradox” (NEEDS 2004: xiii). That is the fact that more than two-thirds of the Nigerian people are poor, despite living in a country with vast potential wealth. As Adrian Hastings confirms:

The coming of political independence did not bring any effective transfer of power into the hands of the masses, but into those of small elite. The masses remain exceedingly poor, mostly illiterates, probably even more remote from the mechanism of even local power than in colonial or pre-colonial times (Hastings 1976: 78).

This statement reveals how undemocratic and unpopular the Nigerian government has been. In fact, what we normally call elections in Nigeria are a mere travesty and rape of democracy and institutionalized robbery of the people’s franchise. This truth is epitomized in the popular June 12 episode, when the incumbent military regime under General Babangida refused to install the winner of the presidential election, Chief M.K.O. Abiola, as the democratically elected president of the country. This situation is further exacerbated by the dominant presence of ethnicity, election rigging and thuggery, intermittent but frequent military interventions and perpetuation of totalitarianism, despotism and dictatorship in the Nigerian political scene. Let us briefly consider each of these factors.

Ethnicity, for instance, has played a central role in the political history of Nigeria even before independence in 1960. Hostility among the major ethnic groups in Nigeria has been exploited by the political elites and this has led to various political crises in the country since then. As P.C. Lloyd points out, most problems in Nigeria, in large measure, derive from the tensions arising between the large ethnic groups. According to him, it is not ethnic differences in themselves that are responsible for the hostility, but competition for wealth and power among the political elites from these ethnic groups (Lloyd 1972: 1-13. See also Adejumo 2001:37-39). This was the root of ethno-regional politics in Nigeria following the division of Nigeria into three regions by the colonial government before independence and the formation of regional political parties such as the Action Group (AG), the Northern Peoples Congress (NPC), and the National Council for Nigeria and the Cameroons (NCNC) to reflect the Western, Northern and Eastern regions, respectively (Olukoju 1997:31). These regions and their corresponding political parties reflected the three major ethnic groups in the country: Yoruba, Hausa and Igbo, respectively, while the Mid-Western region later created in 1963 after independence reflected the Edo-speaking minority ethnic group. As Olukoju comments, “The foundation was thus laid for the future pattern of regionalist politicking that was to ground the ship of the Nigerian state” (Olukoju 31). Ethno-regional conflicts and the minority group politics in Nigeria were the major causes of the first military coup and the counter coup in 1966 and the aftermaths which culminated in the 1967-70 civil war (Adejumo 37-39, Dudley 1973:132, and Okafor 1997: 3).

Apart from ethnicity, Nigeria’s politics has often been characterized by election rigging and thuggery. The tragic political situation of the Second Republic as epitomized in the 1983 elections with the attendant killings, wanton destruction of properties and sufferings, illustrates this fact. In Ondo State, for instance, houses and vehicles were burnt in their number and many lives were lost in feuds between thugs of opponent political parties. These feuds arose over the election of a Governor from the National Party of Nigeria (N. P. N.) whom majority of the people in the Unity Party of Nigeria (U.P.N.) dominated state did not vote for. Reflecting such a situation, Chief Obafemi Awolowo, the presidential candidate of the U.P.N., is quoted as condemning that controversial 1983 general election as “the worst rigging ever in any elections in Nigeria” (Daily Times Publication 1984: 44). Rejecting the Federal Electoral Commission’s announcement of the victory of the incumbent President, Shehu Shagari of N.P.N. in the 1983 presidential election, Dr. Nnamdi Azikiwe, the presidential candidate of the Nigerian People’s Party (N.P.P.) is cited to have described the whole election as: “...an inglorious victory ... a pyrrhic victory ... a debacle ... unfairly maneuvered to enable an unpopular but powerful political party exercise power at the expense of the silent majority of the electorate of Nigeria” (Daily Times Publication 1984: 42). Addressing members of the diplomatic corps in Lagos after taking over power from Shehu Shagari, Major-General Muhammad Buhari recaptured this general view of the 1983 general election as:

... shameless rigging [and] widespread perversion of the electoral process [which] could not have been said to have produced a government of the people by the people ... [it is] a mixture of political thuggery and bribery [resulting from] the rape of democracy (Daily Times Publication 1984: 18).

Moreover, the long period of military rule totaling about 30 years on the whole (Anonymous <http://www.africanaction.org/resources/ejournal.php>: 2), from the beginning of the regime of General Aguiyi-Ironsi to the end of the regime of General Olusegun Obasanjo (1966 - 1979); and from the beginning of the regime of Major General Muhammadu Buhari to the end of the regime of General Abdusallam Abubaka (1983 - 1999), promoted rather than proscribed social injustice, oppression and corruption in the country. According to Okon Uya, these long periods of military administration were: marked by frustration and precipitous decline of Nigeria's once vibrant civil society, stunted political, social and economic growth, collapsing health, educational and infrastructural services; stark poverty; and pollution of values evidenced in massive corruption, indiscipline, moral decadence and resurgence of dangerous ethnicity (Uya 2000: 2).

The Babangida's and Abacha's regimes served as the epitome of despotism and dictatorship in Nigerian politics. The killing of Dele-Giwa, the popular Nigerian journalist by a mail bomb in his home on October 19, 1986 during the Babangida regime ("Dele-Giwa" Wikipedia), the arrest and long detention of M.K.O. Abiola during the regimes of Babangida and Abacha, the mock trial and awful execution by hanging of Professor Ken Sorowiwa and the other eight Ogoni leaders and activists on November 10, 1995 by General Sani Abacha (CNN [http://www.cgi.cnn.com/WORLD/9511/nigeri/index.html\\_cached\\_sender: 1](http://www.cgi.cnn.com/WORLD/9511/nigeri/index.html_cached_sender:1)), and many other such cases, bear an eloquent testimony to their dictatorship. It is in the light of this that Sam Oyovbaire describes the Sani Abacha regime as the "most vicious dictatorship of military rule" (Oyovbaire 2000: 22). In a statement made while in South Africa during his historic visit to Africa in March 1998, the U.S. ex-President, Bill Clinton, recognized Late Sani Abacha as a military dictator transforming himself into a civilian president. He described him as "the most brutal despot in Nigeria's history embarking on a course to 'civilianize' his dictatorship" (Anonymous <http://www.africanaction.org/resources/ejournal.php>: 2. ). The indiscriminate arrests, detentions and imprisonments, by the Government, of those who hold contrary world-views reveal the sudden evolution and consolidation of a status quo turned into an irresistible and unchallengeable demi-god or "leviathan."

At the economic level, we cannot gainsay the fact that Nigeria, like other third World countries, is a 'poor' country in the sense and for the fact that majority of its population live in abject poverty and penury. Although, originally, and to a very great extent, we can trace the characteristic poverty of Nigeria to the external forces of international commercial imperialism, as noted earlier, the true nature of her present economic condition is, nonetheless, more directly to be interpreted in terms of the internal forces and activities of the politico-economic oligarchs. Nigeria's poverty "is no more the poverty of people within a poor society but the poverty of people within a rich society" (Hastings 1976: 78) It is a situation where we have "A few rich and many very poor people" (Hastings 1976: 78). We can put the ratio of poor and rich Nigerians at 7:3, respectively based on the information from the publication of the National Economic Empowerment and Development Strategy (NEEDS) that 7 of every 10 Nigerians live on less than \$1 a day (NEEDS 2004: ix ). Although revenues from crude oil have been increasing over the past decades, our people have been falling deeper into poverty. In 1980 an estimated 27 percent of Nigerians lived in poverty. By 1990, 70 percent of the population had income of less than \$1 a day...( NEEDS 2004: xiii). These statistics support the claim that:

The majority of Nigerians can be classified as marginal citizens who have learnt to accommodate themselves into the culture of poverty ... No democratic system can function where the majority of the people are illiterate and their primary pre-occupation is that of how to survive on a day-to-day basis (Adegbola 1987: 70 - 73).

This corroborates the sad and sobering picture presented in the online article "Nigeria; This House has Fallen" which says:

At the turn of the century, Nigeria was home to approximately sixty million youths under the age of eighteen, seething with frustration over the lack of academic and job opportunities that just three decades before appeared to be within reach of their parents. They represent Nigeria's equivalent

to what South Africa calls its “lost generation”, that huge army of frustrated youth who lack the tools to face the demands of a modern economy. In South Africa they were the products of the apartheid system ... In Nigeria the blame for its lost generation falls squarely on the shoulders of its people’s leadership – corrupt military dictators and their civilian accomplices – who over the past quarter of a century have humbled a once proud nation through outright incompetence and greed (Anonymous <http://www.africanaction.org/resources/ejournal.php>: I.).

It is quite unfortunate that in spite of the vast human and material wealth with which Nigeria is endowed and which could have given her a place of honour in Africa and the world, the country continues to face constant economic regression from boom to doom (Achebe 1983: 19). The root-cause of this is not unconnected with the unabated open and shameful official corruption, which has been characteristic of the country’s leadership since the Second Republic. Usually, it is the poor masses of the society who suffer the sad effects of the corrupt and unjust economic system of the times. Inadequacy of food at reasonable prices, poor health services, constant deterioration in the educational system, unemployment, et cetera, are among the deplorable conditions of the people which Late General Sani Abacha pointed out during his radio broadcast announcing the military take over of the government on December 31, 1983 (Daily Times Publication 1984: 3. See also Max Siollun’s Website : 25). Ironically, these conditions became worse by many hundred percents during his regime and have even become worst today. It is reported that Sani Abacha’s eight bank accounts totalling 600 million U.S. dollars were frozen by Officials of Luxembourg, a tiny European principality (Ellison 2000: 1). We will then agree with Adegbola that Nigeria’s “culture of underdevelopment” and “culture of poverty” is only a “culture of exploitation of the masses” and self-induced poverty (Adegbola 1987: 60).

At the socio-psychological dimension of impoverishment and underdevelopment, it is not an overstatement to assert that certain forms of socio-political apathy and segregation at both national and local levels have been entrenched into the socio-cultural structure and psychology of our existence and relationships. At the national level, there is institutionalized ethnicism and nepotism, especially in the areas of power sharing, employment, scholarships, admission to higher institutions, and so on. In keeping with this observation, F. U. Okafor notes that: “Lop-sided power sharing has led to the complaint that certain ethnic groups in Nigeria have a monopoly of political power” (Okafor 1997:5). In support of this observation, E. U. M. Igbo provides a convincing statistics of the monopoly of power by the north which, in his opinion is one of the most controversial issues among the major ethnic group. According to his study:

Of the 35 years of political independence [that is 1960-1995] the north has been in power for 31 years: Alhaja Abubakar Tafawa Balewa (1960-1966), General Yakubu Gowon (1966-1975); General Murtala Muhammed (1975-1976); Alhaja Shehu Shagari (1979-1983); Major General Muhammadu Buhari (1983-1985); General Ibrahim Babangida (1985-1993); and General Sani Abacha (1993 to date). The only exceptions where Southerners have occupied the seat of power were ‘circumstantial’ as in the case of (1) Major-General J. T. Aguiyi-Ironsi (January-July 1966) after he hijacked the military coup by young army officers, (2) General Olusegun Obasanjo (1976-1979) after some military officers assassinated the Head of State, General Murtala Muhammed, and (3) Ernest Shonekan (1993) after General Ibrahim Babangida stepped down from power (Igbo 1997: 211-212).

This situation is the result of the doctrine that only men of one particular race or ethnic group are destined or divinely ordained with the right and command to always rule the other ethnic groups in a collective or federal set-up like Nigeria (Ogunmodede 1987: 231). This kind of doctrine is reflected in a quotation in *Tell Magazine* attributed to Alhaja Maitama Sule, a one-time presidential aspirant, that “Everyone has a gift from God. The Northerners are endowed by God with leadership qualities” (Igbo 1997: 212). This implies, therefore, that political rulership in the country appears to be nothing more than an internal handover of power arranged among a specially constituted ethno-religious feudal class of Nigerians. In this case, sections of the population are, either on ethnic, religious or economic class grounds deprived of their political rights of being elected into the rulership of their own country. This is a situation where “one’s group gets too much cheated out by another group in a union which all groups are supposed to be equal partners” (Okafor 1997: 5). It is such a discriminatory manner of appointments to public offices that tend to aggravate ethnic tensions and the

rise of ethnic based militia groups, which are now a thorn in the nation's flesh (Ogunmoded 1987: 232).

The very recent years, however, appear to indicate the feasibility of power shift to the South, with General Olusegun Obasanjo from the Yoruba ethnic majority group and Dr. Goodluck Ebele Jonathan from a minority Niger delta group being democratically elected presidents consecutively. Notwithstanding, the increasing spate of violence in the Muslim dominated North that has greeted this development is a bold demonstration of this wrong philosophy that some special groups in Nigeria are born to rule the rest. Worse still, since after the Nigerian Civil War, the Igbo who constituted the bulk of the defunct and defeated Biafra seem to still be paying dearly for their revolt through calculated marginalization, despite General Yakubu Gowon's policy of 'No Victor No Vanquished' and Reconciliation, Reconstruction and Rehabilitation'. Sanusi Lamido Sanusi aptly captures this picture in his paper presented at the National Conference on the 1999 Constitution. Discussing the need for justice, he maintains that the manner of handling what he describes as the "Igbo marginalisation and the responsible limits of retribution" and "the Niger-Delta question" (Sanusi 1999: 12), is among the key issues that will determine to a large extent the success or failure of our ideal Federal Structure. He writes:

Igbos (sic) have more than paid for their foolishness. They have been defeated in war, rendered paupers by monetary policy fiat, their properties declared abandoned and confiscated, kept out of strategic public sector appointments and deprived of public services. The rest of the country forced them to remain in Nigeria and has continued to deny them equity. The Northern Bourgeoisie and the Yoruba Bourgeoisie have conspired to keep the Igbo out of the scheme of things.... Now, with this government, the marginalisation of the Igbo is more complete than ever before. The Igbos (sic) have taken all these quietly because, they reason, they brought it upon themselves. But the nation is sitting on a time-bomb.... If this issue is not addressed immediately, no conference will solve Nigeria's problems (Sanusi 1999: 18 - 19).

Another dimension to the problem of discrimination in Nigeria is that today also, citizens of the "One Nigeria" are made to work on contract basis in their "own native land" in order to reserve opportunity for the yet unborn members of the "superior" and privileged ethno-religious groups. In the Editorial article of a recent edition of the Guardian Newspaper, Reuben Abati deals with what he refers to as "the crisis of indigeneship and settlers" in Nigeria, which challenges the section on the rights of citizenship in the Nigerian constitution. Among other things, he rightly observes that,

Some states of the Federation employ Nigerians from other states as "expatriate staff" or in more civilized situations as "contract staff", and the moment there is an indigene, even a less qualified son of the soil to fill that position, the alien from another state of the federation is promptly sacked (Abati 2009: 3).

From our analysis, we can agree, therefore, that the issue of social injustice and the demand for socio-political and economic liberation are not to be associated with the situations in the former apartheid South Africa alone, but of equal relevance to the many similar conditions of oppression, exploitation and inequality in Nigeria. This challenge of our time is not to be thrown out solely to social or human rights activists as those whose job alone it is to take leadership in this direction. There is need for the Church to be involved in dealing with the problem of injustice and oppression and the quest for socio-political and economic liberation.

### **3. The Church and the Liberation of the Nigerian Society**

Participation in the process of socio-political and economic liberation for the realization of justice is a task, even a 'sine qua non' for the Church as both a religious and viable social institution. Christians are to take positive actions to destroy all forms of oppression and injustice wherever they are found (Hastings 1976: 91). This does not mean, however, that the Church as a body should be expected to leave the Word of God to serve tables by getting herself involved in a violent revolutionary overthrowing of governments or even in partisan political activism. The liberating role of the Church should be such that will enhance her influence on the socio-political and economic order without jeopardizing her more spiritual and evangelistic vision and mission. This will involve her confronting and challenging every unjust, oppressive and exploitative structure with Christian values and ideals. This implies a prophetic and priestly role for the Church in Nigeria, just like Amos,

Isaiah, Jeremiah, Micah and other prophets in the Bible. In this role, the Church can, along with her direct spiritual vocation, be committed to the process of justice, human liberation and social transformation by fulfilling the following five functions: prophetic denunciation of the oppressive mechanism; promoting programmes of raising social consciousness among the masses; practical alleviation of the conditions of the oppressed masses; peace building through positive reconciliation of the oppressed and oppressive members; and personal conversion of the ordinary man

(i) Prophetic Denunciation of the Oppressive Mechanism

The Church's prophetic stance obligates her to confront and challenge the systems of corruption and injustice which oppress, exploit and deprive the masses by criticizing and judging them by the Gospel standards. The Church in Nigeria, in the words of Archbishop Cyril Garbett, is to "fight the world by bearing against it militant and prophetic witness ... shown in open attacks on the sins of the world ... and expose the falseness of the values accepted by the world ..." (Ryan 1987: 159-160). By Means of official statements from ecumenical bodies like CAN, ecclesiastical councils, critical and corrective sermons, and so on, such unjust systems can be decried, denounced and called to order. Such prophetic calls can function to disturb the comfort and untouched conscience of the affluent society whose power and wealth are accumulated at the expense and to the detriment of the impoverished peasants. As the proclaimer and interpreter of the Divine purpose and will for the nation, the Church can act as a moral check on the activities of the ruling class, rejecting, resisting and denouncing ungodly and unpopular policies which prevent the full realization of justice and equity in the society. She can provide an "alternative voice" through the establishment of a more reliable, intrepid and independent media for the dissemination of her prophetic messages to the nation. As a prophet the Church can function as the conscience of the nation, the voice of the voiceless, a critic of unjust institution and an iconoclast in the oppressive tradition. As S. I. Omoera points out, the Church is "to be aggressive ... in condemning sin" in demanding for justice, and in fighting "the battle of the poor, the hungry ..." against a system that "too often turns deaf ear to their appeals" (Hastings 1987: 93).

(ii) Promoting Programmes of Raising Social Consciousness among the Masses

This is a social educational programme aimed at creating socio-political awareness among the people for an eventual peaceful elimination of the structures of oppression. It is a gradual but effective approach to structural change through a re-orientation of the group and individual's consciousness. The sensitization of the masses involves, among other things, the provocation, stimulation, creation and building up of "a new awareness in them" to give them "a new consciousness" which encourages them "to see the possibility" and "accept responsibility for their own development." It also involves the mobilization of the masses "to join hands together for positive action towards change" (Omoera 1987: 125). The goal of this mental liberation is to emancipate the Nigerian minds from such "fatalistic world view" which makes them to resign themselves to the culture of poverty and hopelessness. It enables them to be able to see their "capacity to create a better society for themselves" (Adegbola 1987: 69 - 70). This is the attitudinal aspect of liberation in which the marginalized, oppressed and down-trodden masses are able to face the future with meaningful and reasonable optimism. This is done by helping them to see themselves in the light of the biblical evaluation of themselves. Such function disabuses and emancipates their minds from the belief that God has destined their lot to be so.

This attitudinal aspect of liberation also involves the sensitization of the upper and middle class elite members of the Church to the real nature and extent of the plight of the oppressed, thereby soliciting their change of attitude, sympathy and commitment to the cause of the oppressed. It may be that some of them do not actually realize the full implications and effects of their activities on the masses. They may likely change for better and help to change their colleagues when their consciences are awakened.

(iii) Practical Alleviation of the Conditions of the Oppressed Masses

The Church's liberation work as the champion of the cause of the poor, weak and oppressed masses does not end with attacking the perpetrators of injustice and oppression ("afflicting the

comfortable”), but also includes the alleviation of the miserable and painful condition of the victims of the system (“comforting the afflicted”). This will necessitate practical concern with economic programmes for the improvement of their conditions, since the callous bureaucratic system would only frustrate the hopes of the helpless masses for such projects if left in their hands. This goes beyond mere charity works for the provision of subsistence needs. The Churches can embark on practical socio-economic projects such as we see in some Latin American countries. This can include building of hospitals, establishing co-operative bodies for joint venture, scholarship funds for students from poor families, educational programmes for those who are disadvantaged by the government’s educational system, organizing training programmes in business and technological skills just like the Church Private Voluntary Organizations (PVOs) in some African countries, and the “Village Polytechnic” pioneered by the churches in Kenya.

The Church’s Private Voluntary Organizations (PVOs) are religious Non-Governmental Organizations (NGOs). Two outstanding examples of such PVOs are Christian Care (CC) and Catholic Relief Services (CRS). While the former is Protestant, the latter is Catholic as the name implies. Christian Care was formed by the Protestant Churches in Zimbabwe through the Zimbabwe Council of Churches (ZCC) during the liberation struggle. The initial aim of forming this Christian NGO was to provide welfare assistance to those who were being persecuted during the liberation struggle, especially to care for political activists who were put in jail during the liberation struggle. In addition to ministering to the detainees, it was also concerned with the welfare of their families. However, now, after the period of the liberation struggle is over, Christian Care, along with many other PVOs in the area, is working with communities in programmes of rural development. It often engages in long term projects lasting between two and ten years. It works very closely and collaboratively with local churches, merging with the activities of local rural churches that seek development projects for their congregational communities (Bomstein 2003: 102-104). The overall goal of the organization is, therefore, “promoting the Christian mission of helping the needy” (Bomstein 2003: 104).

The second example of the Church’s PVOs, Catholic Relief Services (CRS), is the international humanitarian agency of the U.S. Conference of Catholic Bishops which operates in more than one hundred countries around the world. As a Catholic faith-based organization, CRS represents the Catholic Church’s extensive grassroots network in Africa. It also serves as an effective medium of extending the impact of U.S. foreign assistance into remote areas where most international donors and many national governments are not able to reach otherwise. 96 It aims at the reduction of poverty, alleviation of human suffering and provision of hope to the coming generation. Its work in Africa includes food security, responding to the HIV and AIDs pandemic, and microfinance. Consequently, “through its hospitals, schools and social service outreach, the Catholic Church provides approximately 25% of the care and treatment for persons with HIV and AIDS worldwide, especially in Africa” (O’Keefe <http://ers.org/newsroom/testimony/entry.cfm?id=1713> :1).

CRS has often supported projects in 42 African countries through which it has given attention to health and education and conflict resolution within some countries. It has also paid attention to the problems of underemployment and unemployment in growing cities, especially among less poorly educated youth. Equally, it has effectively combined the short term goal of meeting immediate needs through food aid and the long term goal of establishing complementary livelihood support activities through cash support. CRS has also been in the Vanguard of the war against HIV/AIDS in sub-Saharan Africa through which more than 390,000 people living with HIV are reported to be receiving care and support services with about 145,000 of them enjoying life-saving antiretrovirals. The most changing thing about CRS is that as Bill O’Keefe explains, it targets “the most marginalized and underserved communities” as well as “the poorest of the poor, and the most vulnerable members of our human family” (O’Keefe <http://ers.org/newsroom/testimony/entry.cfm?id=1713> :1- 8).

The village Polytechnic in Kenya was formed in 1966 by the National Christian Council of Kenya (NCCCK) as a solution to the acute problem of finding a place in society for young people after leaving school. The increasing number of primary schools in Kenya and the growing rate of primary school leavers became a problem to parents. Government and other concerned institutions because these school leavers had very few job opportunities and lacked the necessary skills to take such jobs. It was this situation that led a joint Working Party of the Youth Department of the National Christian

Council of Kenya and the Christian Churches' Educational Association to begin to innovate on the further education, training and employment of Primary School Leavers as was published that year in the pamphlet". After School What?" Their studies revealed that,

Only one tenth of school leavers at Primary Standard Seven every year got secondary education or employment. More and more young people every year are therefore faced with the hard fact that there are no paid jobs to absorb all of them and there are few chances for further education" (Wanjala <http://cdj.oxfordjournals.org/cgi/pdf-extract/8/2/104>: 2).

In their effort to discover what to do to help some of these unfortunate young people, the Village Polytechnic Movement was launched by the National Christian Council of Kenya in 1966 with the acceptance of the member churches to become the main sponsoring bodies. In his explanation of what a Village Polytechnic is, E. A. Wanjala writes:

It is not just another school. It is not- as the name might imply – a College with sophisticated equipment and a high powered staff. One might rather compare it to an apprenticeship scheme or a low cost training centre for rural occupations, aimed at meeting the local needs for primary school leavers. Such needs may lie in improved methods of agriculture or the establishment of small rural bakeries. In another area there may be a big building boom and therefore a need for the training of masons and carpenters. In yet another place the introduction of a water supply scheme may call for plumbers. By teaching the knowledge of poultry-keeping you might not only give the young people a chance of earning a little money through the sale of eggs but you will improve the supply of protein, in a certain area. Similarly if you teach a girl dress-making, she may start a little business and produce shirts and dresses for sale. But even if she does not do it commercially she will be able to look after her family better than without this skill (Wanjala <http://cdj.oxfordjournals.org/cgi/pdf/>: 2).

Although some of these projects have been undertaken by some churches already, their lack of liberating tendencies is obvious when we try to answer the question, which category of people benefit from them, the poor or the rich members of these churches? In addition to this, the Church must also seek for ways of influencing public policies to favour the improvement of the poor and powerless masses, since she is their last hope and place of refuge.

#### (iv) Peace -Building through Positive Reconciliation of the Oppressed and Oppressing Members

The priestly role of reconciliation is another major social function of the Church in the process of socio-political and economic liberation. Unlike the Marxist approach to justice, which implies the elimination of the oppressive rich for the liberation of the oppressed poor, the Christian approach to justice seeks to create a community of reconciled people – both the rich and the poor, the oppressor and the oppressed. It is "a peace-creating justice which binds together in a new transformed community" (Hellwig 1974: 169). The Church's liberation ministry is, therefore, a ministry of positive reconciliation of both parties and not that of violent revolution. The Church is to show concern both for the deplorable conditions of the victims of injustice and oppression and also for the ultimate judgment on the vices of the oppressors. Thus, its prophetic indictments of the oppressive status quo should not be mere arbitrary, malicious and vindictive criticisms of the system, but rather constructive and corrective criticisms which ultimately aim at the eventual liberation of both the oppressors from their vices and the oppressed from their victimization, thereby reconciling them. This fact is aptly captured in the statement cited by Uchegbue that "God does not seek the destruction of members of the ruling classes who are willing to change their ways ... in order to create a new system ..." (Uchegbue 1985: 99).

#### (v) Personal Conversion of the Ordinary Man

The Church's liberating mission in Nigeria goes beyond commitment to mere philanthropic activism or welfarism, protesting against social injustices and motivating and mobilizing people for active participation in social transformation. Religion essentially sets a transcendental goal by helping us to realize that life is more than the satisfaction of immediate material needs of hunger and poverty (Luke 12:15; Matthew 6:25). As Douglas Webster is cited by Norman Autton to have rightly pointed out, the human tragedy is sin and not hunger while the worst privation is ignorance of God rather than social inequality. Therefore, though poverty, exploitation, oppression, and so on seem to be the

prevailing problems of our day which provide the Church with “the context for mission”, the “contents” of her mission are not determined by them. In the final analysis, the Church’s mission is ultimately and supremely concerned with God (Autton 1972: 226-227). According to him, though “Man does need bread”, he needs God above all (Autton 1972: 227). Thus while the Church seeks for socio-political and economic liberation to provide a more just system in Nigeria, it must relentlessly and without distraction seek for the spiritual liberation of the people – a change in the personal man himself. If social changes are to bear lasting fruits, a deep-seated conversion and fundamental spiritual transformation of the individual members of society – the oppressed, the oppressors and the liberators are of indispensable necessity. The reason is that the ordinary, normal, usual or average man is inherently corrupt. History has proved that the revolutionary of today may become the reactionary of tomorrow and the progressive of today may become the conservative of tomorrow unless they are inwardly transformed themselves. How can one under the iron shackles of evil and wickedness change an evil and wicked system? This reflects the picture of the hypocritical liberators presented by the Apostle Peter in his Second Epistle where he writes, “While they promise them liberty, they themselves are the servants of corruption: for of whom a man is overcome, of the same is he brought in bondage” (2 Peter 2:19 KJV).

### **Conclusion**

From the foregoing discussion, it is very glaring that Nigeria, like many countries of the world today, is in great of socio- political and economic liberation. It is also very obvious that the Church as a sacred institution with indispensable social significance and relevance can and should contribute significantly towards the realization of this lofty goal. What is needed, the church urgently needs to enhance her effectiveness in fulfilling this aspect of her mission therefore, is a balanced form of theological orientation which is both spiritually oriented and socio-politically and economically relevant. This is the will produce a kind of church “that calls the world evil and steps into the world, looks at its evil forms full in the face, and does something to change it” (Verkuyt and Schulte 1974:69). It is in this light that Edmund Ilogu rightly comments that “There is no hope for calling any organization a Church that has not manifested the marks of Christ’s fight against evil in the world” (Ilogu 1964: 275). Such a church that must be able to fulfill this task must be a dynamic and progressive church rather than a static and conservative church that arbitrarily supports the status quo. As Iwe equally points out, “Only a creative church with a high sense of ministry and commitment can effect significant contributions to the life of its people” [and] adequately, legitimately and competently work for the welfare of society ...” (Iwe 1979: 161). It is indisputably conclusive, therefore, that a combination of the task of spiritual and social liberation enhances the Church, more than any other institution, to influence the socio-political and economic life of the Nigerian society positively. It is no exaggeration to maintain that an inspired, honest, faithful, dedicated, converted and courageous Church, through its clergy and laity, remains a powerful agent for social change and liberation of the citizens of a callous, corrupt, inept and exploitative Nigerian society. It has the mandate, message and method which can contribute greatly to the attempts to solve the socio-political and economic problems of the country.

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# CHRISTIANITY AND CULTURE IN GHANA: A STUDY OF THE CHURCH OF PENTECOST'S DECREE ON HEAD COVERING AND 1 CORINTHIANS 11:2-16

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## Abstract:

The seeming tension between culture and the Christian religious identity of the Ghanaian woman partly compelled the Church of Pentecost in Ghana to issue a communiqué in 2010 to annul a long-standing tradition of head covering by her women. The communiqué generated varied, but largely unfavourable reactions from the Church's members. This paper examines the culture of headgear in Ghana, the communiqué annulling the practice in the Church, the reactions of Church members, as well as 1 Corinthians 11:2-16; which appears to be a double-edged sword for both the imposition and the annulment. The paper opines that the reactions of the members of the Church indicated a lack of appreciation of the rationale of the communiqué and the actual decisions it contains. Hence, the paper proposes a careful blend of culture and Christianity in Ghana and the adoption of a more inclusive approach towards effective grassroots participation in Church governance.

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**Key Words:** Ghanaian, Church of Pentecost, College of Apostles, Prophets and Evangelists

## Introduction

A close observation of the behaviour expected of women at worship is what motivated the researchers to undertake this study. It has been observed that in some churches in Ghana, women are required to cover their heads for worship. One of such churches is the Church of Pentecost, which seems to have enforced strict head covering for her women. In prescribing head covering for her women, the Church of Pentecost is believed to be following a tradition which could be traced to 1 Corinthians 11:2-16 and also found in the Ghanaian culture.

However, at the beginning of the year 2010, the College of Apostles, Prophets and Evangelists of the Church of Pentecost issued a communiqué at the end of their annual prayer meeting. The communiqué among other things banned the strict enforcement of head covering by women in the Church. This generated mixed reactions in the Church and among the general public in the country.

The aim of this research is to look at the culture of headgear among Ghanaian women; the communiqué in question and responses from the Church membership. The study also aims to examine 1 Corinthians 11:2-16, which seems to have been used to prescribe and proscribe head covering in the Church of Pentecost, to ascertain the theological basis of the communiqué. The paper proposes the way forward in dealing with the seeming tension between Christianity and culture that confronts the Christian Church in Ghana and perhaps Africa in general.

## Methodology

This study was conducted between 2010 and 2012 when the Church of Pentecost's annulment of an age-long practice of head covering by her women came into the public domain. The study was to investigate the seeming tension between Christianity and culture and how the Christian Church in Ghana has dealt with the situation, using the Church of Pentecost as a case study. The primary data was mainly collected through semi-structured interviews, analyses of the communiqué, exegesis of the chosen text 1 Corinthians 11:2-16 and observation by the researchers. The purposive sampling technique was used to select the following principal interviewees for the study: elders, deacons and

deaconesses (lay leaders) and ordinary members (men and women) of the Church of Pentecost in the Central Region of Ghana, and an expert in Ghanaian traditions and cultural practices. These Church informants were selected largely because many of them across the country protested and vowed to resist the directive from their leadership. The expert was chosen to get perspectives on aspects of Ghanaian cultural practices. Due to the qualitative nature and the interdisciplinary methodological approach to the study, twenty people were interviewed, though many informal interactions with other members of the Church of Pentecost and the general public also took place to cross-check some of the responses from the informants. We shall at this point briefly discuss the culture of headgear in Ghana.

### **Culture of Headgear in the Ghanaian Society**

Traditionally, many Ghanaian societies and cultures support the use of headgears by women (Witte, 2001). In the local parlance, headgear is called “duku” which can be used by any woman on any day for any purpose, either for fashion or as a protective gear. However, it is usually worn on religious occasions and during other official ceremonies such as church services, funerals, weddings, outdoorings of a new baby, durbars and festivals. During such occasions, women usually dress and put on appropriate headgears to match the occasion and their clothing (Witte, 2001), even though there is no hard-and-fast rule regarding this particular practice.

In Ghana, there are different styles of headgears practised by women, but the practice of a style is left to the discretion of the individual who puts on the headgear (Witte, 2001). According to our informant on Ghanaian traditions and cultural practices, headgears are symbolic and are sometimes used to communicate information in a non-verbal way. For example, a black headgear symbolises mourning and a white headgear symbolises a joyous occasion or moment.

In recent times, it has been observed that the Ghanaian woman usually dresses her hair according to the occasion. For church services, women dress with or without a headgear to match the rest of their clothing. For funerals, a widow may have her hair shaved as a sign of mourning and respect for the deceased (Witte, 2001). At a durbar, queen mothers, especially those in the Akan society of Ghana, may cut their hair down, trim it round neatly and dye it black, or sometimes cover it with a black hair net (Witte, 2001) or with a duku.

It is this culture of headgear which is often displayed in the Church at different times depending on the choice of the wearer and her mood. Modern Ghanaian women may still follow the traditional hairstyle of wearing headgears, yet there are new and diverse hairstyles available to them. They have the option to plait or braid their hair into different locks, perm the hair or even cut the hair. These new hairstyles may not require them to put on any headgear.

In spite of the foregone, the Church of Pentecost in Ghana was well noted for her insistence on the use of headgears by all adult women in the Church. This insistence has often caused serious embarrassment to some young women who attended church services, either as members or visitors. In solving the dilemma that these young women and others were confronted with, and in dealing with the seeming tension between the Ghanaian culture of headgear and Christianity, the Church of Pentecost issued a communiqué in 2010 to address the situation.

### **The Communiqué of the Church of Pentecost**

The Church of Pentecost is a classical Pentecostal Church, which was established following the missionary activities of one Pastor James McKeown in the Gold Coast in 1937. It is currently the fastest growing and the largest evangelical Church in Ghana (Larbi, 2001) and probably in West Africa. In March 2010, Church records indicated that it had a membership of about 1,503,057 with about 10,867 Local Assemblies or Congregations (The Church of Pentecost Website, 2010). The Church of Pentecost’s Constitution (2005) has created Offices of Teachers, Evangelists, Prophets and Apostles for pastors who have special ministerial gifts. With the exception of Teachers, these special ministerial office holders have come together to form the College of Apostles, Prophets and Evangelists. This College meets annually to pray and give directives for the activities of the Church.

At the end of the annual prayer meeting of the College in January 2010, a communiqué was issued for the direction of the Church public. The title of the communiqué was: “Apostles Rule on Head Covering”. The main reasons for the issuance of the communiqué were contained in its preamble, which is reproduced here for the benefit of readers. It states that:

We, members of the College of Apostles, Prophets and Evangelists of The Church of Pentecost, after deep reflections in the above-stated meeting, on trends in the contemporary Church globally, and in The Church of Pentecost, in particular, have collectively agreed on the following decisions to retain the Church's growing youth and adult membership as well as open the Church's doors to people of different socio-economic and cultural backgrounds to have unhindered access to the total gospel in its churches worldwide (The Church of Pentecost Website, 2010).

Three things stand out from the rationale of the communiqué, namely: retention of members of the Church; to welcome and accommodate people from diverse backgrounds; and to make the gospel accessible to all. These three components in the rationale appear to be essential for evangelisation, effective growth and sustenance of every Christian Church.

In line with the rationale, the College consequently made the following observations: Firstly, that the injunction on head covering in the Church has caused embarrassment to women over the years. Secondly, head covering is not a requirement for salvation. Thirdly, the injunction lacks biblical backing. Fourthly, the Church's fathers did not make any such imposition. Again, the individual's freedom to wear what pleases him or her should be respected provided it is modest and decent. Also, the injunction must have crept into the Church from Ghanaian cultural practices, yet culture and traditions are dynamic and change with time (The Church of Pentecost Website, 2010).

Consequently, the College gave some far-reaching directives to be observed by all members of the Church. These include the fact that female visitors who attend Church services without head covering should be accepted as they are, without being either turned back or offered a head covering, since head covering does not enhance a person's salvation. Secondly, females in the Church who may or may not want to cover their head during church services should not be seen as sinners or being less spiritual. Furthermore, women should rather fashion their hairstyles in a decent, modest and appropriate manner to the glory of God. However, the wearing of seductive or sexually-provocative dress should be discouraged in the Church. Hence, women must avoid the practice of cleavage (the partial exposure of breasts) as that does not glorify the Lord (The Church of Pentecost Website, 2010). These recommendations attracted varied reactions or responses from the Church members across the country.

### **Responses from Members of the Church of Pentecost to the Communiqué**

Responses obtained from members of the Church of Pentecost were largely collected through semi-structured interviews and informal interactions. Some of our informants suggested that the communiqué was uncalled-for since the leaders themselves had admitted that the text 1 Corinthians 11:2-16 was unclear. They added that headgear is part of the Ghanaian culture and had become part of the dress code of women in the Church. Therefore, they insisted that it was unnecessary on the part of the leaders to use an "unclear text to cause confusion" in the Church.

Again, those informants who seemed to disagree with the directives contended that the General Secretary of the Church of Pentecost in Ghana has already identified some challenges facing the Church in Ghana in the twenty-first century. These include the over-crowded nature of activities in most denominations, the threat of Islam and modernity. To them, head covering was not part of the challenges identified.

Our respondents explained that there seemed to be a gradual loss of focus on the Church's core constituency largely found in the lower class of the society. One referred to Wagner (1996) who indicates that the attention of some Pentecostal Churches appeared to be concentrated on the middle and upper class people, to the neglect of the poor who have largely sustained them. To the informants, the annulment of head covering tended to appeal to the middle and upper class women than those in the lower class who were in the majority.

Also, some respondents indicated that Islamic women generally cover their head at all times, even outside the mosque, yet Islam seems to be growing in membership in Ghana. In the last two censuses in 2000 and 2010, Muslim population in Ghana was put at 15.9% and 17.6% respectively (Ghana Statistical Service, 2002; 2012). Our informants maintained further that there are certain distinctive Pentecostal characteristics, which have become traditions distinguishing them from non-Pentecostals. Head covering is identified as one of such distinctive characteristics, which also finds expression in the Ghanaian culture and ought to be maintained.

Moreover, our respondents added that what really infringed on the rights of women in the Church of Pentecost was not the strict adherence to head covering, but rather the lack of progression in terms of leadership roles. It is imperative to state that the highest position a woman in the Church could attain is to become a lay leader with the title of “Deaconess”. On the contrary, men who are appointed to the lay position of “Deacons” could progress to become “Elders”. When it comes to the office of the clergy, women are not ordained in the Church.

However, other informants argued that initially, it was difficult to invite their lady friends to accompany them to Church due to the imposition of head covering. Hitherto, those women who went to Church with their heads uncovered were either given headgears or something on the Church premises to cover their heads or were sent home to get one, causing serious embarrassment in the process. The respondents were, therefore, very happy that the communiqué had come at the appropriate time to address that difficulty.

Apart from these responses through interviews, it was widely reported in sections of the Ghanaian media that members of the Church, mostly lay leaders, had reacted variedly and sometimes angrily at hurriedly organised meetings following the issuance of the communiqué. For example, at the Area meeting in Takoradi in the Western Region of Ghana, some lay leaders of the Church were reported to have hurled insults on the Area Apostle and threatened to beat him up. Some also vowed to pray for God to kill the architects of the communiqué, who were described as trying to destroy the Church (Daily Guide Newspaper, February 19, 2010).

These responses from members of the Church of Pentecost in the interviews, interactions and in the media reports indicate that generally, the decision of their leaders was not well accepted. However, it is obvious from the reactions above that the members did not consider the theological position of the communiqué and the intentions of the College. Perhaps, examination of the chosen text 1 Corinthians 11: 2-16 might throw light on the discussions on head covering.

### **Examination of 1 Corinthians 11:2-16**

This study does not seek to do an exhaustive examination of the entire passage, only relevant portions are used. 1 Corinthians 11:2-16 has been studied by various scholars including A. C. Thiselton (2000), J. D. Dunn (1995), R. F. Collins (1999), G. D. Fee (1987), E. S. Fiorenza (1987) and others and it has generated lots of debate in scholarship. Some scholars such as G. W. Trompf (1980) and G. O. Walker (1987) suggest that the passage might have been inserted by a later editor. However, others like J. Murphy-O'Connor (1980) and Dunn (1999) accept the passage as being authentically Pauline. They suggest that Paul has previously dealt with external issues like meat offered to idols and in this passage he is dealing with internal issues when the community is gathered for worship. One of such issues is the hairstyle of women at worship.

### **The issue of whether Paul is talking about extra cover or hair**

In 1 Corinthians 11:2-16, Paul uses different descriptions for hairstyle. In the first place, he gives injunction that men at worship should not *kata kephalēs échōn* (“having down the head”, v. 4). This is generally interpreted that men should not put on cover or they should not have long hair at worship. Paul also says that it is shameful for women to worship *akatakalúptō tē kephalē* (v.5). The meaning of this phrase is highly debated and will be looked at later.

Paul again suggests that it is shameful for a woman to be shaved. He then analogically compares such shame to that of the uncovered head of the woman and suggests that a woman should be covered (vv. 5b-6). In verse 7, he says that a man should not cover his head and in verse 10, he speaks of a woman having *exousía* (authority) on her head. Then in verses 13-15, he talks about the fact that it is not good for a woman to pray to God uncovered because naturally long hair is her glory and it is given to her instead of a *peribolaion*, (wrapper). It is difficult to determine from these descriptions whether Paul is talking about hair or an extra cover. Scholars are divided over this issue and their interpretations depend on the meaning given to the various phrases and words as well as the particular social and cultural perspectives believed to be behind the text.

The key word *akatakalúptos* occurs only in this passage, 1 Corinthians 11:5, in the New Testament. However, the same word is used twice in the Greek version of the Old Testament (LXX). In Leviticus 13:45 the Hebrew word *parah*, is translated *akatakalúptos* in the LXX and it is rendered

“to uncover” by the New American Standard Version (NAS), “to be in disorder” by the New Jerusalem Bible (NJB), “to be dishevelled” by the New Revised Standard (NRS) in the context of man found to be a leper. The same Hebrew word is used in Numbers 5:18 in the case of a woman convicted of prostitution and there the word has been rendered in Greek as *apokalúpto* “to uncover” by the King James Version (KJV), “loosened” by NAS, “unbind” by NJB and “dishevelled” by NRS. It is possible that the word connotes both the idea of removing an external cover from the hair and the idea of loosening one’s hair or leaving it unkempt.

Writers like Fee (1987), Keener (1998), F. F. Bruce (1978) and Thiselton (2000) suggest that in this passage Paul is talking about extra cover or veil for the woman at worship. Keener (1998) adds that an uncovered woman was taken to be a prostitute or a young woman looking for a husband. He suggests that the hair is the most important aspect of female beauty reserved for a husband. Thiselton (2000) makes reference to Aline Rouselle as indicating that all respectable women in Roman Corinth used a veil, and it was not safe for a woman to go out unveiled. The veil was thus meant to protect Christian women at worship.

Others like Fiorenza (1987), Murphy O’Connor (1980) and B. Witherington (1995) suggest that Paul is talking about either unkempt or loose hair because among other things the word veil did not occur in the text. In the view of Fiorenza (1987) dishevelled hair could evoke a picture of ritual ecstasy prevalent at several Greek cults. Women of the cult of Isis in Corinth, for example, were known to practice with unbound hair and the fear was that outsiders might think the new Christian Church was just another ecstatic cult. According to Witherington (1995), by “covering” Paul is not talking about a veil but throwing part of one’s cloth to cover the head, as indicated by the word *peribólaion*, or wrapper. For Murphy-O’Connor (1980), Paul grew up in an environment where men were used to turbans and therefore head cover could not disturb him. Moreover, the word *káluma* (veil) is not mentioned in the text but the word *koma* (hair) is mentioned in verse 14.

The arguments above demonstrate that there is no consensus on the meaning of the word *akatakalúptos*. The word has been traditionally translated as a cover for the woman, but with time new interpretations have been used to render the word as loose, loosened, unbound or unkempt hair.

Paul also says that the woman ought to have *exousía* (authority) on her head. The sort of authority Paul is referring to here is not clear; whether it is a passive authority exercised over the woman or an active authority exercised by the woman herself over her own head. In this particular context, the Greek word *exousía* is added to *epí tēs kephalēs* which has led many ancient translators, as well as some Church Fathers, to translate it as “authority over” or “authority on” (passive authority). Consequently, the word is interpreted metaphorically to mean a “veil” (Collins, 1999), which is a sign that the woman is under her husband’s authority and gives her the right to lead the congregation in prayer (Fee, 1987).

Bruce (1978) and Collins (1999) consider “authority” here to be the woman’s own authority over her head. L. Mercadante (1978) also suggests that the meaning of the word changes with culture. While previously it meant “authority over the woman”, now it means the woman’s own authority, since she is a full individual in her own rights. A. Padgett (1984) argues along the same line and gives various examples from the New Testament where the word “authority” is used in a similar way. He adds,

... it can be concluded that the phrase in v.10 means: women ought to have the freedom, the right or power to do what they wish with their heads. In the context of this passage, it would mean that women ought to have the right to choose whatever hairstyle they wish (Padgett, 1984, pp. 69-86).

In this context, we tend to agree with the views that the authority is the woman’s, because in Ghana, it is the women who decide what hairstyle or headgear they should use for a particular occasion; hence the exercise of that authority lies within their purview. Given the dynamic nature of culture and interpretation, we are inclined to accept these new interpretations of the terms *akatakalúptos* and *exousía* in the context of this paper as elucidated above.

### **The Way Forward**

Deductions from the analyses above tend to agree with the idea of the communiqué that the text and Paul’s intentions were unclear. Hence, the text could be used to either enforce head covering by women or allow women to uncover their head during Church worship. Secondly, cultural

perspectives of readers could affect the interpretation of the text, which is also affirmed by the communiqué. Therefore, given the dynamic nature of culture in general, and the Ghanaian culture in particular, head covering as a cultural practice should not be imposed on Ghanaian Christian women as a requirement for Church activities.

Currently in Ghana, the issue of head covering seems to be more socially conditioned than cultural. It appears to be prevalent in rural settings than in urban settings, as well as among the lower class than the middle and upper class in society. Hence, one social situation should not be imposed on the general Church community. Again, the Ghanaian society is increasingly becoming urbanised. Therefore, the Christian Church in general, and the Church of Pentecost in particular, cannot continue to focus solely on a particular segment of the society to the detriment of others. Thus the accusation of a loss of concentration on its core membership group by the respondents should be reconsidered in the light of social change and the need for inclusion.

As already indicated, it is apparent that the intention of the leaders of the Church of Pentecost was in the interest of the growth of the Church. Secondly, the Church cannot continue to cause embarrassment to women in the name of religion. Also, our culture does not impose any particular dress code on women and this must be extended to women in the Church.

However, we acknowledge that the seemingly negative reactions from the Church members were inevitable because change is a difficult process that needs to be carried out gradually with education from the grassroots. Probably, this is where the leaders of the Church of Pentecost failed because from the interviews and the media reports, it is obvious the entire membership, including the lay leaders were not informed about the intended change. The first encounter of this drastic change in church policy was in the media, which is not acceptable in church administration. Therefore, we propose that any change in church policy of any kind must go through extensive consultations and sensitization to gain acceptance among the rank and file.

### **Conclusion**

Christianity and culture can co-exist to promote mutual cooperation and the development of a people. From all indications, most members of the Church of Pentecost in Ghana appear to look at head covering as a tradition of the Church that identifies their women from other Christian women in Ghana. However, the basis for the imposition of head covering by women either in the Ghanaian culture or in the Christian Church is no longer tenable. This is because culture is dynamic and changes with time; while a careful study of 1 Corinthians 11:2-16 shows that the injunction of head covering of women in the Church is not categorical. The tone of the communiqué shows that the intentions were good and must be accepted by the members in the spirit of inclusion, since the gospel must be made available to all without any inhibitions.

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## **‘YOU BELIEVE IN GOD’ AND ‘BELIEVE IN GOD’: A CRITICAL STUDY OF JOHN 14:1**

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### **Abstract:**

A study of the grammar of the Greek text of John 14:1 shows that *pisteuete* appears twice in the verse – on in relation to God and the other in relation to Jesus. *Pisteuete* has a double meaning; it is an active indicative verb and at the same time an imperative. Both meanings are found in different translations of the text. This study argues that the first *pisteuete* should be translated as an active indicative verb – “you believe” not as an imperative, “believe”. This is because “you believe” agrees with the context, the situation the disciples were in – troubled. Thus *pisteuete eis ton theon kai eis eme pisteuete* should be translated, “you believe in God; believe also in me [Jesus]”. This translation is significant because it agrees with the background of the disciples; as Jews they already believe in God before they came to follow Jesus. There is no need to command them to believe in God again in times of trouble. If anything at all they should continue believing in God. Translating the text that way into the Ghanaian languages is of value because, to the Ghanaian/African, belief in God is debatable. Ghanaians believed in God before the Good News about Jesus was brought to them, and they continue to believe in God. As such, any translation of the of the Bible that has to do with belief in God, should take that into consideration.

**Key Words:** African biblical studies, mother-tongue translations, Bible translation philosophies

### **Introduction:**

A cursory reading of the Gospel of John reveals that it contains a lot of drama which captures the tension between those who accept Jesus as “of God”, and those who reject his words and works outright. In the Gospel of John, unlike the synoptic Gospels, Jesus’ actions centre around seven miracles he performed: Turning water into wine (2:1-11); Healing an official’s son (4:46-54); Healing a lame man (5:1-16); Feeding of five thousand people (6:5-14); Walking on water (6:17-21); Healing a man born blind (9:1-7); Raising Lazarus from the dead (11:1-45); Giving the disciples a second miraculous catch of fish (21:1-14). These miracles which are called signs in the Gospel of John are meant to challenge witnesses to the ministry of Jesus to accept or reject his words and works. From the very onset of the Gospel one is called to believe (1:7) and John ends his Gospel stating that his purpose in writing is that his readers would believe (20:31). Jesus captions accepting his words and works as “believe”. Believe in the Greek New Testament is *pisteuō*, meaning “to trust”, “to place confidence in”, “to rely upon” (Vine, 1996:61). It is a verb that appears 241 times in the entire New Testament, of which 98 are in the Gospel of John. The word appears as a noun, *pistis* “belief” - the feeling that something is definitely true or exists - 243 times in the New Testament but not in the Gospel of John. In its noun form *pistis* is translated as “faith”, “trust”. It appears as an adjective – *pistos*, translated as “faithful”, “trusting” - 67 times in the New Testament.

This paper is a study of “believe” in John 14:1. A reading of ten English translations of the text reveals that *pisteuete*, translated “believe” appears twice in the verse. Some English translations render it as “You believe”; others “Believe”. Why the variations? How should *pisteuete* be understood in the context of John 14:1? How is John 14:1 rendered in the Dangme translations of the Bible? How do the Dangme translations of the verse compare with other Ghanaian mother-tongue translations?

## Methodology

The study used one of the three broad methods of biblical studies, the exegetical method - a careful systematic study of Scripture to discover the original, intended meaning (Tate, 2008). Fee (1993:32) outlines eight basic rules for New Testament exegesis: Survey the historical context in general; confirm the limits of the passage; become thoroughly acquainted with your paragraph or periscope; analyse sentence structures and syntactical relationships; establish the text; analyse significant words; research the historical-cultural background (see also Porter, 1997 and Stuart, 2010).

The Nestle-Aland Greek-English New Testament (1994) and ten (10) English translations were studied to find out similarities and difference in the translations of the John 14:1. The text was also studied in the Dangme translations. These translations were studied because the mother-tongue of the writer is Dangme - the indigenous language of the people of Ada, Ningo, Kpone, Prampram, Shai, Osudoku, Yilo Krobo, Manya Krobo, and some people in Agotime, east of Ho in the Volta Region of Ghana and part of Togo. Mother-tongue is used in this paper to mean the medium of one's innermost feelings and thought (Amonoo, 1989). It is that native language into which one is born and in which one grows up (Quarshie, 2002). A mother-tongue is a repository of indigenous wisdom, knowledge, insight, science, theology and philosophy. It is in the mother-tongue that one thinks and dreams, before translating one's thoughts to other languages (Bediako, 2006). Ekem (2007:48) says "The varied mother-tongues of Africa have a lot to offer by way of biblical interpretation in Ghanaian/African languages as viable material for interpretation, study Bibles and commentaries". Ekem's point is that, the mother-tongue Bibles have issues which need interpretations and as such an African biblical exegete must of a necessity dialogue with the mother-tongue bibles for they reflect a dynamic encounter between Christian and traditional African world-views, both of which continue to exert a powerful impact on communities. The Dangme renderings were compared with fifteen (15) other Ghanaian mother-tongue translations in five (5) languages to see whether there are variations in meaning.

## The text

Mh. tarasse, sqw u`mw/n h` kardi, a\ pisteu, ete eivj to.n qeo.n kai. eivj evme. pisteu, ete (John 14:1, Nestle-Aland, 1994).

[M... tarassethō hymōn he kardia pisteuete eis ton theon kai eis eme pisteuete.]

## Some English translations of the text

"Let not your heart be troubled: ye believe in God, believe also in me" (KJV, 1611/1769).

"Let not your hearts be troubled; believe in God, believe also in me" (RSV, 1952).

"Do not let your hearts be troubled. You have faith in God; have faith also in me" (NAB, 1970).

"Do not let your hearts be troubled. Trust in God; trust also in me" (NIV, 1982).

"Do not let your hearts be troubled. You trust in God, trust also in me" (NJB, 1986).

"Do not let your hearts be troubled. Believe in God, believe also in me" (NRSV, 1989).

"Let not your heart be troubled; believe in God, believe also in Me" (NASB, 1995).

"Let not your hearts be troubled. Believe in God; believe also in me" (ESV, 2001).

"Don't be troubled. You trust God, now trust in me" (NLT, 2004).

"Do not be worried and upset. Believe in God and believe also in me" (GNB, 2007).

## Findings And Discussion

The pericope of John 14:1 is John 13:18 to 14:14. Jesus told his disciples that one of them would betray him (13:21). This set them thinking as to who would do that. Then Jesus said that in a little while they would see him longer (13:33). In response Peter asked Jesus, "Where are you going?" (13:36). Jesus' response to Peter's question is what we find in John 14:1. Thus, the first part of the text was directly to Peter; but in the second part Jesus addressed all the disciples.

## Exegesis of John 14:1

The discourse of John 14 primarily deals with the question: "Where is Jesus going, and what consequences does this have for the disciples?" (Martin & Scott, 2003:1161). The grammar of verse 1

has some difficulties that affect its translation and interpretation. In the Greek the pronoun *hymōn* “your” is plural but the *kardia* “heart” is singular. The critical question here is whether Jesus is addressing all the disciples who were troubled because of what he told them earlier that he was going away (7:34; 8:21; 12:8, 35; 13:33) that he would die (12:32-33); and that one of the Twelve was a traitor (13:21); that Peter would disown him three times (13:38); that Satan was at work against all of them (Luke 22:31-32); and that all the disciples would fall away (Matt. 26:31); or was he addressing Peter who would deny him? (13:38). Blum (2000:322) says “The cumulative weight of these revelations must have greatly depressed them”. Barton et al (1993:286) also are of the view that “All the disciples must have been troubled about Jesus’ predictions of denial, and departure. After all, if Peter’s commitment was shaky, then every disciple should be aware of his own weaknesses”. Tenney (1981:143) says in John 14:1 Jesus “began to address the entire company of disciples, as the plural *hymōn* “your” indicates” (cf. Keener, 1993:298). In that sense, even though the *kardia* “heart” is singular, one can conclude that Jesus was addressing all the disciples. It is difficult however, to reconcile the plural pronoun *hymōn* “your” and the singular noun *kardia* “heart” since in grammar, a pronoun must agree with a noun in number.

Jesus addressed the troubled heart/hearts by urging them to *pisteuete* “believe” (v.1). In the second part of the verse *pisteuete* is mentioned twice – one in reference to God and the other to Jesus. As far as the form of *pisteuete* is concerned, it may be either indicative or imperative in either or both sentences. By the use of the double imperative as some of the translations have done, “Jesus suggested that the proper approach to the question of human destiny is faith in a personal God” (Tenney, 1982:212).

But if we use the form of the verb alone to make our interpretation of the text we might not get it right. Thus, I want to look at both the form of the verb *pisteuete* and the context of the text to do my translation. I want to make a case that the first *pisteuete* is an indicative. *Pisteuete* is a verb in the present indicative tense, and in the active voice; in terms of number it is plural. As an indicative verb, it does not just tell us about the action but also the performer of the action. The *ete* at the end of *pisteuete* means “you (plural)”. Thus, *pisteuete* means, “you (plural) believe” or “you (plural) are believing”, if we want to translate it as a present continuous action. In that sense, *pisteuete eis ton theon* means “you (plural) believe in God” or “you (plural) are believing in God”. This is a statement of fact affirming the faith of the disciples. Here, Jesus was not commanding them to believe in God; he was affirming the belief they already had as Jews, in the Almighty God. “All Jews trusted in God; the disciples, being Jews, trusted in God too” (Hale, 2006:269). This interpretation is in line with the translation of *pisteuete* in the King James Version “ye believe in God”; the New Jerusalem Bible “You trust in God”; the New Living Translation “You have faith in God”; and the New American Bible “You have faith in God” as against the translations that render *pisteuete* as an imperative, “Believe in God” (see NIV, ESV, GNB, NASB, RSV, NRSV). The translations using “Believe in God” have converted a present active indicative verb into a command, and have put it into the mouth of Jesus because of the worried situation the disciples found themselves in. These translations have a point though. The first *pisteuete* can also be taken as an imperative because of its form. In the present tense, the second person plural indicative and imperative look alike (Hadjiantoniou, 1998: 212). But if we take the form alone without the context, we can miss the interpretation.

The second *pisteuete* in the text is clearly an imperative. Here, Jesus was commanding the disciples to put the same trust they have in God in him also. Perhaps, it is this second meaning that has been transferred to translate the first *pisteuete*. But the fact still remains that according to the context, the first *pisteuete* is a present, active indicative verb, second person plural, meaning, “You believe”. Thus, I will go with the translation, “You believe in God, believe also in me.” Some commentators however, go with “Believe in God; believe also in me” (see Carson et al, 1994: 1055), but it does not agree with the context.

### **What has happened to the Greek text?**

A lot of things happen to a Greek text when it is being translated into another language. There is decoding and encoding (see Van der Watt, 2002:246-265). This does not mean the translations are not genuine. Thus those who go with “Believe in God, believe also in me” are not wrong. Translation in general, which is the process of changing an original written text (source) in an original verbal

language (the source language) into a written text (the target text) in a different verbal language (the target language) (Munday, 2005:5); and Bible translation in particular which is the expression of ancient texts in Hebrew and Greek (source language) in a modern language (receptor language), is a complex process (Nida, 1991:5). It evolves a new text as a result of decoding the source text on several levels and encoding it into the target language by means of the linguistic, literally, and cultural conventions of the target language (Nida 1991:10). Since translation involves decoding - the operation by which a receptor interprets a discourse and understands its message (Nida and Tiber 1982: 199) – and encoding - the operation by which a sender plans and composes a discourse to convey it (Nida and Tiber 1982: 200), one can say that every translation is an interpretation. Nida (1991) describes the actual process of translating as a technology which employs the insights and principles of a number of behavioral sciences in order to accomplish its goal of effective interlingual communication.

### **Philosophies of Bible translation**

In each of the English versions cited above, the translators used one or two of the three philosophies of Bible translation: Formal equivalence or word-for-word translation approach (Van der Watt 2002:247). This approach attempts to reproduce the Greek and Hebrew as exactly as possible into English. Words, figures of speech, and sometimes even the sentence structure of the original languages are reproduced. This an impossible task since translation is not a matter of finding word equivalents in another language, because languages seldom correspond at the same level (Kuwornu-Adjaottor, 2012:23).

The Dynamic equivalence or thought-for-thought translation approach (Nida, 1964, 1969; Nida and Taber, 1982), is a principle based on the assumption that any message can be communicated to any audience in any language provided that the most effective form of expression is found. Thus Greek and Hebrew figures of speech are replaced with modern rough equivalents. They are more readable in a sense, though sometimes in a freer translation some passages become more interpretations than translation.

The third approach is the Paraphrase which is not really a translation, but rewording of the Scriptures so that they speak in a very earthly, common tongue. Kenneth Taylor who first used this approach in 1971 to produce the Living Bible, operated on the assumption that the New Testament was written in Koin... Greek - the common language of the people - and not that of playwrights or philosophers. Therefore, the Bible should be translated into everyday language so that many people can read and understand its message. Paraphrases even though express Scripture in everyday language, are not the most exact rendering of Scripture ([www.tateville.com/translations.html](http://www.tateville.com/translations.html), accessed 5/12/12).

### **Dangme translations of the text**

Somi He ô (The Dangme New Testament, BSG/UBS, 1977)

Nyâ ko ye nyâ tsui; nyâ he Mawu nô nyââ ye, nâ imi hu nyâ he ye nô nyââ ye. [Do not trouble your hearts; you should believe in God, and believe in me also].

Ngmami Klôuklôu ô (The Dangme Full Bible, BSG/UBS, 1999)

Nyâ ko ye nyâ tsui. Nyââ lââ nyâ he Mawu nyââ ye; nâ imi hu nyâ he mi nyââ ye. [Do not trouble your hearts. As for you believe in God; and believe in me also].

Wami Munyuô: Somi He ô Kâ La amâ (The Living New Testament and Psalms, IBS, 1997)

Nyâ ko ye tsui, nyâ heô Mawu nô yeô, nyâ he ami hu ye nô nyââ ye. [Do not let your heart be troubled, you are believing in God, believe in me also].

### **Analysis of the Dangme translations**

M... tarassesthō hymōn he kardia

The Somi He ô (The Dangme New Testament, BSG//UBS, 1977) and the Ngmami Klôuklôu ô (The Dangme Full Bible, BSG/UBS, 1999), translate m... tarassesthō hymōn he kardia as nyâ ko ye nyâ tsui [Do not trouble your hearts], meaning it was the disciples who were troubling their own hearts. But it is possible for one to trouble oneself without any cause? Even though tarassesthō, “be troubled” is in the passive voice, exegetically it does not agree with the context of the text. As indicated above, certain circumstance made the hearts of the disciples troubled; they did not impose the trouble on themselves ( see John 7:34; 8:21; 12:8,

35; 13:33 – Jesus told the disciples he was going away; 12:32-33 – he would die; 13:21 – one of them would betray him; 13:38 – Peter would disown him three times; cf. Luke 22:31-32 – Satan was at work against all of them; Matt. 26:31 – all the disciples would fall away).

The Wami Munyuô: *Somi He ô Kâ La amâ* (The Living New Testament and Psalms, IBS, 1997), render m... tarassesthō hymōn he kardia as nyâ ko ye tsui. This is in the active voice unlike in the Greek text where it is in the passive voice. This means that the disciples were troubled as a result of something. This agrees with the context.

### **Pisteuete eis ton theon**

While the *Somi He ô* (The Dangme New Testament, BSG/UBS, 1977) and the *Ngmami Klôuklôu ô* (The Dangme Full Bible, BSG/UBS, 1999), translate *pisteuete eis ton theon* as, *nyâ he Mawu nô nyâ ye* [Believe in God], the *Wami Munyuô: Somi He ô Kâ La amâ* (The Living New Testament and Psalms, IBS, 1997) render it as *nyâ heô Mawu nô yeô* [You continue to believe in God]. *Nyâ he Mawu nô nyâ ye* is an imperative, command for them to believe in God. *Nyâ heô Mawu nô yeô* is a statement in the indicative, an affirmation of the belief the disciples already have in God. Both translations are legitimate though, but *nyâ he Mawu nô nyâ ye* [Believe in God] raises the question as to whether belief in God is debatable among the Dangme.

### **In response to this question T. O. Caesar, a Dangme Lecturer at Ada College of Education says:**

Dangme li ngâ hemi kâ yemi ngâ Mawu Ope ô mi. A tsôô Mawu he so ngâ abâhi a mi, ngâ lahi a mi, ngâ munyu tumihi a mi, ngâ telimihi a mi, ngâ nyaziahi a mi kâ ni kpahi fuu a mi. Mawu pi nubwô ha Dangme li. A ngôô bu kâ haa Mawu nâ a tsâ we e biâ basabasa. Ke nô ko ba nâ nô ko wo Mawu ta pâ, o na nâ o le kaa le sane ô, pi sane nyafi kulaa (Caesar, n.d:5) .

[The Dangme believe in God Almighty. Their belief in God is seen in proverbs, songs, sayings, pouring of libation, stories, and in many other things. Believe in God is not debatable among the Dangme. They give respect to God and so do not mention His name anyhow. When something happens and someone and a Dangme mentions the name of God, then it means the matter is not an ordinary one].

### **Kai eis eme pisteuete**

The *kai* “also” in this section of the verse is an adverb modifying the verb *pisteuete*, which is an imperative. Jesus had affirmed their belief in God as Jews. But here Jesus added, *kai eis eme pisteuete* “believe in me also”. The *kai* “also” shows a relationship between the two *pisteuete* “believes”. Jesus used *kai* “also” to show that believe or believing involves relationship. In that sense, another way of translating *pisteuete*, into English is to use ‘trusting’ or ‘entrusting oneself’ to God and Jesus.

Entrusting oneself to God and Jesus in Dangme is *he to mi kâ wo Mawu kâ Yesu a de mi*. This is the real meaning of believe which is rendered in the Dangme translations of the Bible as, *he mi kâ ye mi*, literally meaning “taking and eating”. People who believe in deities among the Dangme literally “take the deities and eat them”, through the rituals performed by the priests/priestesses of such deities to keep them connected. In order words, believers in deities entrust themselves to such deities for protection, prosperity, sustenance, among other things. Interpreting believe as “trust” or “entrust” to in the John 14:1 in the Dangme will thus be: *Nyâ ko ye tsui; nyâ to ô nyâ he ngô wo ô Mawu dâ mi; nyâ to nyâ he ngô wo ami hu ye dâ mi*. [Do not let your hearts be troubled; you are entrusting yourselves to God; entrust yourselves to me also].

### **John 14:1 in some other Ghanaian mother-tongue translations of the Bible**

#### **1. Ga**

#### **Ñmale Kroñkroñ Le (The Full Bible in Ga, BSG/UBS, 1907)**

*Nyekayea nyetsuii; nyehea Nyonmo no nyeyea, ni mi hu nyehea mino nyeyea*. [Do not trouble your hearts; believe in God, and believe in me also].

*Åmalâ Krôåkrôå Lâ* (The Full Bible in Ga, BSG, 2006)

Nyâkayea nyâtsui; nyâhea Nyôâmô nô nyâyea, ni mi nu nyâhea minô nyâyea. [Do not trouble your hearts; believe in God; and believe also in me].

## 2. Ewe

### **Biblia (The Full Bible in Ewe, BSG/UBS, 1930)**

Migana miañe dzi naûuû nyanyanya o; mixô Mawu dzi se, eye mixô nye hã dzinye se. [Do not let your hearts be shaken; you believe in God, believe also in me].

### **Nublaba Nublaba Yeye La (The New Testament in Ewe, BSG, 1990)**

Migana miañe dzi naûuû nyanyanya o; mixô Mawu dzi se, eye mixô nye hã dzinye se. [Do not let your hearts be shaken; you believe in God, believe also in me].

### **Agbenya La (The Living Word, Full Bible in Ewe, IBS, 2006)**

Migana vovÿ nađo mi eye miañe dzi naûuû nyanyanya o. Mixô Mawu dzi se, eye mixô nye hf dzinye se. [Do not let fear trouble you so that your hearts be shaken. You believe in God, believe in me also].

### **Biblia (The Full Bible in Ewe, BSG, 2010)**

Migana dzika natso mia fo o. Mixô Mawu dzi se eye mixô nye hã dzinye se. [Do not let the veins of your heart be torn. You believe in God and believe also in me].

## 3. Fante

### **Nwoma Krônkrôn (The Full Bible in Fante, BSG/UBS, 1948)**

Mma hom akoma nntutu; hom ngye Nyankopôn ndzi, hom ngye mo so ndzi. [Let not your hearts be uprooted; believe in God, believe also in me].

### **Ahyâmu Fofor No Mu Nwoma (The New Testament in Fante, UBS, 1982).**

Mma hom akoma nntu; hom ngye Nyankopôn ndzi, hom ngye mo so ndzi. [Let not your hearts be uprooted; believe in God, believe also in me].

## 4. Asante-Twi

### **Twerâ Kronkron (The Full Bible in Asante-Twi, BSG/UBS, 1964)**

Mommma mo akoma nntutu! Mo nnye Onyankopôn nni, na me nso, monnye me nni. [Do not let your hearts be troubled! Believe in God, and believe in me also].

### **Nkwa Asâm Apam Fororô (The Living Word New Testament and Psalms in Asante-Twi, IBS, 1996)**

Mommma mo akoma nntu. Monnye Onyankopôn nni na monnye me nso nni. [Do not let your hearts be troubled. Believe in God and believe also in me].

### **Twerâ Kronkron (The Full Bible in Asante-Twi, BSG, 2012)**

Mommma mo akoma nntutu! Monnye Onyankopôn nni, na me nso, monnye me nni. [Do not let your hearts be troubled! Believe in God, and believe also in me].

## 5. Akuapem-Twi

### **Kyerâw Kronkron (The Akuapem-Twi Full Bible, BSG/UBS, 1964)**

Mommma mo koma nntutu! Munnye Onyankopôn nni, na me nso, munnye me nni. [Do not let your hearts be troubled! Believe in God, and believe also in me].

### **Apam Foforo (The New Testament in Akuapem-Twi, BSG, 1976)**

Mommma mo koma nntutu! Munnye Onyankopôn nni, na me nso, munnye me nni. [Do not let your hearts be troubled! Believe in God, and believe also in me].

### **Nkwa Asâm Apam Foforo Ne Nnwôm (The Living Word New Testament in Akuapem—Twi, IBS, 2000)**

Mommma mo akoma nntutu! Munnye Onyankopôn nni, na me nso, munnye me nni. [Do not let your hearts be troubled! Believe in God, and believe also in me].

### **Kyerâw Kronkron (The Full Bible in Akuapem-Twi, BSG, 2012)**

Mommma mo akoma nntutu! Munnye Onyankopôn nni, na me nso, munnye me nni. [Do not let your hearts be troubled! Believe in God, and believe also in me].

Like the Dangme translations (1977 and 1999), the Ga, Fante, Asante-Twi and Akuapem-Twi translations of John 14:1 have rendered *pisteuete eis ton theon* ‘You believe in God’ as imperative: *nyâhea Nyôâmô nô nyâyea; hom ngye Nyankopôn ndzi; mo nnye Onyankopôn nni; munnye Onyankopôn nni*, thus throwing the background of the mother-tongue bible readers away. The translation as they stand now mean that the Ga, Fante, Asante and Akuapem-Twi speakers, lived in a *tabula rasa* state – a position of the absence of preconceived ideas about God – before Christianity was introduced to them. The Ewe translations on the other hand render *pisteuete eis ton theon* “You believe in God” as a statement affirming the belief of the disciples and the Ewe bible reading communities in God.

### Conclusion

The grammar of the first *pisteuete* in John 14:1 indicates that it has a double meaning; it is both a present active indicative verb and an imperative. Translators of the text into both English and the Ghanaian mother-tongues have translated *pisteuete* either as an imperative or indicative. I have argued that translating the first *pisteuete* as an imperative without looking at the context of the text will not bring out its meaning clearly, especially to Ghanaian mother-tongue Bible readers, to whom belief in God is their experience before receiving the message of Christianity. Thus, John 14:1 should be translated as, “You believe in God; believe also in me [Jesus]”. Such a translation has great value in that it has an implication for evangelism and discipleship.

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## “RELIGION Á LA CARTE” AND FAMILY

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### Abstract:

To understand the spiritual behaviour of people is complicated because more similar terms describe this phenomenon, such as religiosity, spirituality, mysticism, paranormal and supernatural occurrence. The new phenomenon of contemporary religiosity is called spiritual nomadism or religious tourism or ‘religion á la carte’. The ‘religious market’ offers wide scale options: horoscope, palmist, amulets, seminars of magic, table-turning or fengshui. Our target is to explore the connection between the value of family of respondents and non-Christian nonaffiliated religiosity. This research demonstrates the characteristics and attitudes of the non-Christian nonaffiliated religiosity through horoscope, divination, magic, witchcraft, table-turning, superstition, east-philosophies and phenomenon of UFO. The analysis indicates the attitude of the respondents to the institution of marriage and to the next generation by children, by adults and by grandparents respondents. The consequences are based on the interview of 2020 respondents (representative by county, age, gender, education, number of habitants and nationality). In the research were used univariate, bivariate and multivariate analyses.

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**Key Words:** Religiosity, Family, Value

### Introduction

The phenomenon of contemporary religiosity is called spiritual nomadism or religious tourism or ‘religion á la carte’. The ‘religious market’ offers wide scale options: horoscope, palmist, amulets, seminars of magic, table-turning or fengshui. Many researches point out on the fact, that profitability of these modern religions is more preferential than scientific remedy.

Some studies show correlation between religiosity and marriage happiness<sup>143</sup>, religiosity and warmth in family relations<sup>144</sup>, religiosity and connection to family and lower risk of conflicts<sup>145</sup>. Christiano<sup>146</sup> measured contingency between religiosity and stronger centeredness to family. Agate, Zabriskie and Eggett<sup>147</sup> analyzed religiosity in context of leisure and functionality of family. They perceived that those families were more religious which members spent more time together through home-based activities. Religiosity of parents influences the behavior of their children positively. In religious families there is lower rate of depression and lower misuse of alcohol and drugs. Johnson<sup>148</sup> found the fact that the families of religious people are happier, more intimate and more accepting. Heaton, Jacobson and Fu<sup>149</sup> analyzed the contingency between religiosity and voluntary childlessness.

Nasel and Haynes<sup>150</sup> used “Spiritual and Religious Dimensions Scale” in their research to analyze Christian religiosity and spirituality of New Age. The conclusion were the following 5 factors: Christian religiosity, alternative spirituality, discomfort, extrinsic religiosity and paranormal belief. Lindeman and Aarnio<sup>151</sup> analyzed 3 dimensions of belief in the research about non-Christian non-affiliated religiosity: superstitions, magical beliefs and paranormal beliefs. By factor analyses 5

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<sup>143</sup> Booth et. al., 1995  
<sup>144</sup> Mahoney et al., 1999, 2001  
<sup>145</sup> Sherkat, Ellison, 1999  
<sup>146</sup> Christiano, 2000  
<sup>147</sup> Agate, Zabriskie, Eggett, 2007  
<sup>148</sup> Johnson, 1973  
<sup>149</sup> Heaton, Jacobson a Fu, 1992  
<sup>150</sup> Nasel, Hayes, 2005  
<sup>151</sup> Lindeman, Aarnio, 2006

factors were found, presenting this part of belief: paranormal agents, human agents, signs, vital power and food. By other authors this dimensions mean the same (Tobacyk and Milford<sup>152</sup>, Keinan<sup>153</sup>, Brugger a Graves<sup>154</sup>).

Consensus among researchers – such as superstition, magical or paranormal belief - doesn't exists. Some<sup>155</sup> of the researchers analyzed the paranormal belief in paranormal person (witch, spirits) or in paranormal skills (telepathy). Researches<sup>156</sup> of superstitions are also focused on rituals, amulets, signs. Astrology, fengshui are sometimes analyzed like superstition, magical or paranormal beliefs. Some studies<sup>157</sup> found the correlation between emotional instability (neurotics), scruple and belief to superstitions. Padgett and Jorgenson<sup>158</sup> found contingency between negative life experiences (times of threat) and higher interest to astrology. Sharps et al. <sup>159</sup> found that paranormal belief is connected to depression and dissociation. Williams et al. <sup>160</sup> found correlation between paranormal belief and rate of neurotics.

The aim of this research is to explore the connection between the value of family and non-Christian non-affiliated religiosity.

### Methods

To understand the spiritual behavior of people is complicated because more similar terms describe this phenomenon, such as religiosity, spirituality, mysticism, paranormal and supernatural occurrence. This research demonstrates the characteristics and attitudes of the non-Christian religiosity through horoscope, divination, magic, witchcraft, table-turning, superstition, east-philosophies and phenomenon of UFO. We counted index of non-Christian non-affiliated religiosity (index NNR) based on 13 questions. Cronbach's alpha has value 0,829. The index scale is from 0 to 100 (0 – minimal belief, 100 – maximal belief).

### The value of family was measured trough certain items:

- Attitude to marriage
- Attitude to next generation (fertility, attitude to abortions, attitude to cohabitation and sexual behavior of children)
- Attitude to former generation (attitude to grandparents – possibility to intern them into nursing home).

We counted the index of value of family (index VF) based on 13 items. Cronbach's alpha has value 0,862. The index scale is from 0 to 100 (0 – minimal value of family, 100 – maximal value of family). We divided it into 3 parts (lowest quartile, 50% and highest quartile).

The population are habitants of Slovakia age between 18 – 60 years. Participants were chosen by representative choice after 6 quotas: gender, education, age, nationality, number of habitants in village/city, county. In this research 2020 respondents participated. Field research was realized in 2008.

### RESULTS

Index VF	index NNR	N
highest	23,36	510
middle	30,12	821
lowest	32,55	609
aggregate	29,11	1940

<sup>152</sup> Tobacyk, Milford, 1983

<sup>153</sup> Keinan, 2002

<sup>154</sup> Brugger, Graves, 1997

<sup>155</sup> Rice, 2003

<sup>156</sup> Keinan, 2002

<sup>157</sup> Wiseman, Watt, 2004; Zebb, Moore, 2003

<sup>158</sup> Padgett, Jorgenson, 1982

<sup>159</sup> Sharps et al., 2006

<sup>160</sup> Williams et al., 2007

**Tab. 1 Comparison index VF and index NNR,  $F(2, 1937) = 56,033, p < 0,001$** 

Gender	Index VF	index NNR	N
man	highest	22,49	208
	middle	27,40	392
	lowest	30,20	376
	aggregate	27,43	976
woman	highest	23,96	302
	middle	32,61	429
	lowest	36,34	233
	aggregate	30,80	964

**Tab. 2 Comparison index VF and index NNR by gender, man:  $F(2, 973) = 18,403, p < 0,001$ , woman:  $F(2, 961) = 52,210, p < 0,001$** 

Age	Index VF	index NMR	N
18 - 29	highest	22,41	140
	middle	31,19	270
	lowest	33,73	273
	aggregate	30,41	683
30 - 39	highest	27,01	82
	middle	29,83	204
	lowest	33,47	147
	aggregate	30,53	433
40 - 49	highest	24,47	152
	middle	30,54	180
	lowest	32,03	114
	aggregate	28,85	446
50 - 60	highest	20,91	136
	middle	28,31	167
	lowest	27,23	75
	aggregate	25,43	378

**Tab. 3 Comparison index VF and index NNR by age**

Age	df	F	signification
18 - 29	2, 680	26,95	0,000
30 - 39	2, 430	4,37	0,013
40 - 49	2, 443	12,07	0,000
50 - 60	2, 375	11,85	0,000

**Tab. 4 Rate of signification of tab. 3**

„It’s equal if partners live in marriage – important is that they are satisfied“	index NNR	N
Strongly agree	31,55	669
Agree	30,84	629
Disagree	26,84	435
Strongly disagree	22,57	258
Aggregate	29,13	1991

**Tab. 5 Index NNR in comparison with item: „It’s equal if partners live in marriage – important is that they are satisfied“, F (3, 1987) = 28,282, p<0,001**

„What’s your attitude about sexual contacts of married person to other people?“	index NNR	N
Nothing bad, I am not against it	30,53	72
Sometimes no problem, if husband/wife is tolerant	35,29	115
Against it, it can create problems	30,01	307
Against it, it’s not fair to husband/wife	30,13	822
Strongly against it based on moral attitude	26,35	684
Aggregate	29,13	2000

**Tab. 6 Index NNR in comparison with attitude to infidelity, F (4, 1995) = 11,815, p<0,001**

“What’s your attitude to abortions?”	index NNR	N
I am strongly for injunction of abortions	23,39	339
I am for possibility only by health problems	28,61	690
I am for possibility by health problems, economical and social reason	31,55	603
I am for possibility without limitation	31,20	378
Aggregate	29,10	2010

**Tab. 7 Index NNR in comparison with attitude to abortions, F (3, 2006) = 24,287, p<0,001**

„If the family (parents and children) lives in small flat with grandmother, should the family intern grandmother to nursing home?“	index NNR	N
Strongly agree	33,01	63
Agree	30,55	176
Agree/Disagree	30,39	457
Disagree	28,80	628
Strongly disagree	27,77	685
Aggregate	29,10	2009

**Tab. 8 Index NNR in comparison with attitude to possible intern of grandmother in nursing home, F (4, 2004) = 3,595, p=0,006****Discussion**

The analyze indicates the attitude of the respondents to the institute of marriage, to the next generation – children and to the previous generation - grandparents. The consequences of the research are based on the interview of 2020 respondents. In the research were used univariate, bivariate and multivariate analyses. In point of the fact two analyzed variables correlate strongly. The respondents, who declared high level of value of family, and who have low rates in each indicators of non-Christian religiosity, they don't believe to horoscope, divination, magic, superstition, witchcraft and phenomenon of UFO. These people evaluate the family which based on marriage, have positive and conservative attitudes to the new and previous generations.

The attitudes to values of family is opposite among respondents than by those, who have high rates of non-Christian religiosity. According to the results the conclusion points at the fact that in this new mystic-occult wave people try to find their own secular religiosity. They think that this can absolve them from responsibility to the family - which based on marriage like most important institute of stability of society - to the new generations (to children) and to the previous generations (to grandparents).

How can fake values coming from “religion á la carte” create solidarity, harmony and cooperation between generations? The only institute what can give stability for the society is the family based on marriage.

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# AN EXPOSITION OF ISLAMIC MEDICATION IN THE LIGHT OF THE QURAN AND HADITH

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## Abstract

Islam is not only a religion but also a total way of life. It covers every aspect of human endeavour. So when addressing the issue of medication, Islam has a lot to say about it, ranging from its meaning and purpose, to its utilization and efficacy. Thus, in this paper effort is made to expose the Islamic concept of medication in the light of the Qur'an and *Hadith*, based on the following headings, aside the introduction and conclusion: The concept and principle of medication in Islam, the Qur'an and medication, the *Hadith* and medication and the forms of medication in Islam.

**Key Words:** Islamic medication, Quran, Hadith

## 1.0 Introduction

Medication in Islamic parlance is known as *Ad – Dawa' or At-Tibb or As-Sharibat*.<sup>1</sup> Aside the Qur'an and *Hadith*, the tradition of the Prophet, there are quite a number of Islamic literatures on Islamic medication, popular among such works are *At-Tibbun – Nabawi of Jalalud – Din As-Suyuti; kitabur – Rahmah fi Tibb Wal-Hikmah* also by As – Suyuti. A section of Ibn Qayyim's *Zadul-Mi'ad* titled *At-Tibbun – Nabawi* is also a distinct works today available in Arabic and in English. The truth is that these works and few other classical ones not mentioned have become the primary sources from which modern writers find information on the subject matter.

## 2.0 Concept and Principle of Medication in Islam

In fact, in Islam, religion is indeed the fountain of not only medicine, but rather of the entirety of human life, both in this world and in the hereafter. And as religion is the foundain of medicine, so is *Tawhid*<sup>2</sup> or the belief in one God – Allah, the fountain of Islamic religion.

*Tawhid* is a revolutionary concept that constitutes the essence of the teachings of Islam. It means that there is one Supreme Lord of the Universe. He is Omnipotent, Omnipresent and the Sustainer of the world and of mankind.

Belief simply means a sincere conviction that what one believes in is really true, and one should adhere to that truth. The study of medicine/medication is also related to the Islamic faith through the injunction of the Qur'an and the teachings of Prophet Muhammad (S.A.W) concerning hygienic and better healthy living.

Medicine, like other science, draws its nourishment from the Qur'an and its philosophy of life. The human body is considered to be the formal residence of the soul and therefore closely related to both the spirit and soul, thus presenting a two-fold aspect. First, as the symbol of existence whereby both the soul and spirit are intimately related to and dependent on the physical body of man, because the former cannot exist without the latter. Secondly, man has to maintain his outward form in a good and healthy condition to exist at all, and for this reason, the existence of the inner aspects, that is, the spirit and soul become absolutely dependent upon the former.

Therefore, the Health and Care of the body becomes an important matter both for medicine and religion in order to keep man outwardly and inwardly in a healthy condition. The anatomy and physiology of human body provides incentives for the study of medicine in Islam said Makarfi.<sup>3</sup> In other words, the Islamic point on the principle of medication and healing center on the conception that it is Allah alone who can heal and provide appropriate medication for all forms of physical, spiritual, socio-economic problem and affliction.

It is imperative to mention from the onset that in Islam the concept of medication and that of healing are interwoven. Thus, they are both used interchangeably and sometimes synonymously. That is, any prescription given by Allah in the Qur'an and the one given by the Prophet (S.A.W) for the healing of any illness is seen as medication for such illness.

### 3.0 The Qur'an and Medication

The Qur'an stand on medication is illuminating and the Qur'an is not in anyway ambiguous in giving its consent for medication. This is evident in Q17:82.

We reveal from the Qur'an that which is healing  
and mercy for the believers.

As postulated by Rasaq A-Abubakre, the Qur'an showing the significance of both spiritual or moral health as well as physical health, enunciate that part of what is in the Holy Qur'an has been revealed for the purpose of healing the believers through prayer and application of medication. It is more specific on physical healing when it says on the tongue of Prophet Ibrahim:<sup>4</sup>

When I am sick it is He who cures me. Q26:80.

The Qur'an is even more categorical about the importance of medication for physical health when it refers in the chapter of the 'Bee' to the chemical composition of honey as of great value to organism for the purpose of healing. This great medical uses of honey for mankind is mentioned by the Qur'an in Chapter 16:68-69.

'And your Lord inspired the Bee, saying choose your habitations in  
the hills and in the trees and in that which you build, then eat of all  
fruits and follow the ways of your Lord made smooth (for you).  
There comes forth from their bellies a drink of varying colours,  
wherein is a healing for mankind. Truly, in this is a sign for those  
who reflect.

Of all the books descended on the earth, the Holy Qur'an is the universal, most useful, most magnificent book, in fact, the Holy Qur'an, even though its status is beyond that, is the Divine encyclopedia as Allah Himself said:

"And We reveal of the Qur'an that which is  
a healing and mercy for believers." (Q17:82).

The reason why the Holy Qur'an is a panacea is that blessings sought through the recitation of the Holy Qur'an serve as cure and remedy for illness.

As mentioned above under the use of prayers as medication, the Prophet used to recite *Ayatul-Kursiyi*, *Mu'awwudhatayn*, *Suratul al-ikhlas*, the last two verses of *Suratul al-baqarah* for protections.

There are also some popular verses of the Holy Qur'an among Muslim Alfas, the recitation of which is used as medication for curing ailments and illnesses vis-à-vis.

1. "Ya'tiha rizquha raghadan min Kulli makani" is used for seeking financial sustenance from the Almighty Allah (Ar-Razaq, the Sustainer).
2. *Qala irkabu fiha bismillahi majraha wamursaha innar-rabi laghafur – Rahim* is for seeking Allah's safety in a journey.

### 4.0 The Hadith and Medication

There are many *Ahadith* of Prophet Muhammad (S.A.W) concerning illness and their medication and the book of *hadith* has separate chapter named *At – Tibb An-Nabawi* (medicine of the Prophet). This gave Islamic medication a religious basis from the very beginning of the Islamic era – And it points to the fact that Prophet Muhammad (S.A.W) himself is the fountain of Islamic medications.

The above assertion is deduced from the contributions of the Prophet to the provision of Islamic medications for various illness, be it physical or spiritual illness.

It was reported by Abu Hurayrah that the Holy Prophet said:

There is no disease that Allah has sent down  
except that He has also sent down its treatment.<sup>5</sup>

Abu Hurayrah narrated that the Prophet said:

If a fly falls in the vessel of any of you, let him dip all of it into the vessel, and then throw it away, for in one of its wings there is a disease, and in the other there is cure (antidote for it) that is, treatment for the disease.<sup>6</sup>

In a tradition narrated by Abdullah b. Mas'ud, the Prophet was reported to have said:

‘Hold fast with two medicines, Honey and the Qur’an’.

This tradition is interpreted thus: Hold fast to two things for your healing; the use of honey and the use of Qur’anic verses.<sup>7</sup> This states that honey is a medicine. In a tradition reported by Bukhari and Muslim which has related by Qatadah and others, who said: A man came to the Messenger of Allah (p.b.u.h) and said ‘O Messenger of Allah, my brother is suffering from stomach trouble’ the Prophet said, tell him to drink Honey’ then he went away and came back to say, O Prophet he had drunk the honey but the trouble increased’ the Prophet gave the same advice until the fourth occasion, the Prophet then said Allah’s (word) is the truth and the belly of your brother had lied.’ So he gave him honey to drink again and then he was cured:<sup>8</sup>

And a tradition transmitted by Bukhari which was narrated by Sa’id bn. Jubayr from bn. ‘Abbas that the Messenger of Allah said:

The cure with Honey is in three things, cupping (act of removing black blood from the body) curing of suffocation and curing of cauterization, but I forbid my followers (*‘ummah*) from the bodily burning.<sup>9</sup>

The Prophet was reported to have also said: shaving off the public hair strengthens desire for sexual intercourse, just as shaving the back of the head strengthens the neck. It is also stated in the *Ahadith* that whoever cuts his nails will not suffer from ophthalmia on the other side.<sup>10</sup>

## **5.0 Forms of Medication in Islam**

Medication and healing, no doubt, fall under the mystic realm of religion. Thus, as a corollary from the general concept of medication, it has been found that medication in Islam includes the followings.

### **5.1 Prayer (*Du‘a*)**

The supreme privilege of man on earth is to knock at the door of the Almighty Allah as much and as frequently as he pleased. However heinous may have been the sins of the supplicant, it is his birthright to approach God to seek his forgiveness, and implore Him to fulfill his wishes. The All-Knowing, All-Hearing Creator and Ruler of the universe is ever ready to give him a patient hearing. If his repentance is sincere, and he is resolved to abstain from sins, he is sure to be forgiven. The harder he knocks, the more he is admired and loved by the Beneficent Lord.

The one single purpose for which God has been pleased to send man on earth is the education of his spirit, so that he may be qualified to live eternal life, full of bliss, in a higher scale of existence. But there are countless millions on earth who are living in the present, regardless of the future, absorbed in their earthly duties or enjoyments, in utter indifference to their eternal interests.

Thus, the vast majority of humanity in this age of gross materialism is not conscious of the potency and value of regular supplication. Supplication is a mysterious spiritual agency. It has access to God’s throne. It brings us His mercy and grace. It is instrumental in helping man to attain his temporal and spiritual ends, satisfying his needs and desires, and in relieving him from sorrows and pains, difficulties and dangers. Prayer always operates as a shield against unforeseen calamities, though it is unperceived and unfelt. Prayer is, indeed, the voice of faith. Faith in God makes the believer optimistic, so that he can fight the battle of life, with hope and courage.

The productive capacity of prayer depends upon the strength and activity of the human soul. What has the spirit to lean on, except faith, in which the human mind finds support and solace? “Call Me, I shall answer you”. (Q40:60) “When My servant ask you concerning Me, I am indeed close (to them): I listen to the prayer of every suppliant when he calls on Me (Q2:186); “Call on your Lord with humility and in private” (Q7:55) says the Qur’an.

Those who are spiritually advanced, and can speak from personal experience; testify that these divine promises are not false.

In fact, prayer, supplication or invocation is considered in Islam as the most appropriate for all diseases and afflictions. Prayer in Islam involves a passionate appeal to the Divine Being as seen in the above Qur'anic quotations. The efficacy of prayer as a form of medication and healing system in Islam rests mostly on the concept of the ("Divine word) (*Kalimatullah*), that is, the Qur'an. However, there are many other prayers recommended by Prophet Muhammad (P.B.U.H) and some *Awliya'u-llahi* (pious people and friends of Allah). For instance, the Prophet recommended the following prayers for every Muslim vis-à-vis.

1. When a Muslim wakes up in the morning he should endeavour to say:

*Alhamdu lillahi alladhi ahyana ba'da ma amatana  
wa ilayhi an-nushur.*<sup>11</sup>

Meaning: All praise is for Allah who gave us life after having taken it from us and unto Him is the resurrection. This is meant to seek longevity of life from Almighty Allah. (S.W.T).

2. When returning to his bed every night, the Prophet would hold his palms together and blow air or a little spittle spittle in them, recite the last three chapter of the Qur'an i.e. (*Suratul – ikhlas and Mu'awwizatayn*) and then wipe over his entire body as much as possible with his hands, beginning with his head and face and then all parts of the body.
3. The Prophet (P.B.U.H) said: when you are about to sleep recite *Aayat-ul-kurisiyu* till the end of the verse for there will remain over you a protection from Allah and no devil will draw near to you until morning.<sup>12</sup>
4. The Prophet (P.B.U.H) also said: Whoever recites the last two verses of *Suratul Al-baqarah* at night, those two verses shall be sufficient for him.<sup>13</sup>, he also recommended the following prayer to be said to seek protection from Allah:

*Allahumman inni a'udhu bika minal hammi  
wal-huzni, wal-'ajzi, wal-kasali, wal-bukhli,  
wal-jubni, wadal'id-dayni wagalabatir-rijali.*<sup>14</sup>

Meaning: "O Allah, I take refuge in you from anxiety and sorrow, weakness and laziness, miserliness and cowardice, the burden of debts and from being over powered by men.

To mention but few out of the innumerable prayers recommended by the Prophet (P.B.U.H) for his followers (the Muslims). While prayers like *Sayfi*, *Hayyud-dafi'u*, *Ya muhiya* and the like are prayers used by some *Awliya'llah* (Pious people and friends of Allah) for seeking protection from Allah against the enemies. The efficacy of these prayers lies in the meaning of the words contained in the prayers and in the faith, piety and level of mind of the supplicant during the prayer.

## 5.2 Offerings or Charity (*Sadaqah*)

*Sadaqah* in Islam refers to the processes by which one authenticates something or reinforces it. Technically, in Islam offerings and alms are meant to serve as supplement, reinforcement and catalyst to the efficacy of prayer as a medication with an attempt to solve one problem or the other. It is believed in Islam that a prayer intended as a medication without charity, offering or alms, is not quickly accepted by Allah like the one done with charity. This above assertion is buttressed by some Islamic scholars with the tradition of the Prophet (P.B.U.H) which says: "Nothing can prevent the destiny (from coming to past) except prayer and nothing can increase the life span (of a person) except righteousness. And ill-natured is a bad luck while good deed is an increase in (reward) and charity prevent unforeseen death".<sup>15</sup> Their argument is that for the Prophet (S.A.W) to have mentioned *Sadaqah* (offering) along side prayer means that they both supplement and complement

each other, thus one of them is not enough. In other words, *Sadaqah* (charity) is a supplement, reinforcement and catalyst to the efficacy of prayer meant for medication.

The Holy Qur'an is indicative of the fact that Allah does accept the charity of a supplicant as this is shown in Q9:104

“God does accept repentance from His votaries and receives their gifts of charity ...”

Such alms, offerings and gifts should not be concentrated in the hands of well-to-do individuals, specialists, mystics and spiritualists. They should be extended to the poor, the needy, orphans, charity homes, orphanages and mosques to advance the cause of Allah. However, offerings should not be followed with evil acts (Q2:263-264).

### 5.3 *Salat* (prayer)

*Salat* (prayer) the canonical prayers, the supererogatory prayers or voluntary prayers are another form of medication in Islam. It has been authoritatively established by Allah that *Salat* (prayer) is a medication for the curing of the tendency of shameful and unjust deeds (in man). This is evidence in Qur'an 29:45.

Prayer is also a Divine medication prescribed by Almighty Allah Himself to be applied when seeking his assistance or help in the face of adversity or difficulty. The evidence to this assertion is also found in (Q2:45 and 2:153).

There is also an apt evidence in the tradition related by *Hudhayfah* who said it is part of the character of Prophet Muhammad (S.A.W) that whenever he was faced with any adversity or sorrow he sought Allah's assistance by observing *Salat* (prayer).<sup>16</sup>

### 5.4 *Animal Sacrifice*

This is another form of supplementary medication for prayer in Islam. Unlike the charity and ordinary material offerings, sacrifice connotes effecting ransom or redemption through the blood of an animal. Some of the Muslim Alfas are of the opinion that whenever the whole Qur'an or certain chapters or *Surahs* like *Suratu Yasin*, *Suratul-Kahf*, *Suratul – Waqi'ah* etc, are recited for prayer, ram or goat if not cow should be slaughtered for the quick efficacy or response of Allah to the recitation of the Qur'an meant for supplication.

However, it should be understood that sacrifice in Islam is not tantamount to idolatry. The focal point is Allah and He is central to the concept of sacrifice in Islam. More so, the efficacy of any sacrifice made in Islam is determined by the piety of he who makes the sacrifice. Hence Qur'an cautions that:

It is neither their meat for their blood that reaches God.

It is your piety that reaches Him: He has thus made them (animals) subject, to you, that you may glorify God for His guidance to you: And proclaim the good news to all who do right. (Q22:37).

In essence, a Muslim should, while sacrificing, remain having Allah in mind. He should avoid element of syncretism and idolatry.

### 5.5 *Herbs and Shrubs*

Plants constitute a major part of Allah's provisions for man on earth. Essentially, plants are for eating purpose (Q3:37, Q20:53). Besides this, many a lead, shrub and herb of different plants and trees are also good for medicinal purposes. History is replete of the fact that herbs and shrub were used for curing diseases during the time of the Prophet Muhammad (S.A.W). In the book of *Sahih al-Bukhari* and *Sahih al-Muslim*, it is reported on the authority of Abdulah bn. Ja'far who said: I saw the messenger of Allah eating (R.A.) on the fresh wild cucumber eaten then by Prophet, she said: It enhances the coolness of the stomach; she said: I was given every medication to make me fat but all proved abortive until when I was given the fresh wild cucumber and I became fat".<sup>17</sup>

The herbs and shrubs were legitimately used because they are there as part of Allah's favour on man. (Q2:60, 2:168).

## 5.6 *Hantu* (Drink made from Qur’anic passage written on a black slate and washed with water)

*Hantu* is a word etymologically derived from Arabic word *Khatt* which literally means writing. However, *Hantu* to some Muslim Alfas is also a form of medication in Islam, in which certain verses of the Holy Qur’an and many other prayers of *the Awliya’ullah* (friends of Allah) are written on a black slate by Muslim Alfas and then washed with water for their patronizers to drink or bathe with as medication for ailments or illness and also as a form of medication for protection or prevention of calamities. Sometime the whole Qur’an is written and washed for a person seeking protection from enemies or seeking political position or any other high position to drink. While some specific verses of the Qur’an are also used in this form for different intentions e.g.

1. “*Sanuqri’uka fala tansa*” in Q87:6 is written and drunk as brain tonic.
2. “*Thummas – Sabila Yassarahu*” in Q80:20 is written and washed for pregnant women for safe delivery.
3. “*Wa alqaytu ‘alayka muhabbatan minni*” in Q20:39 is written and washed for one who is seeking to be loved by everybody etc.

## 6.0 Conclusion

Medication, which means the taking of drug or medicine to prevent or treat an illness, is synonymous to combating sickness either physically or spiritually and this is the ultimate aim of Islam for its adherents. Thus, in projecting this aim, Allah, the Author of the religion of Islam has established in the noble Qur’an, as well as through the *sunnah* of His Prophet enormous ways of the application of Islamic medication.

Thus, in this paper assertion has been made to give the concept of medication in Islamic perspective, the Qur’an unequivocal stand on medication as well as that of *Hadith* of the noble Prophet Muhammad (S.A.W) has also been established alongside the forms of medication among Muslim Alfas in Nigeria.

It should be emphatically stated that Islam is a total way of life that encompasses every facet of human endeavours, it has not left any problem or sickness without proffering solution or cure to it in the noble Qur’an or the *sunnah* of Prophet Muhammad (S.A.W). In other words, Islam has solutions and cures to any problem or sickness that may tempt us to run to unbelievers for solution to any spiritual or physical problem except if the case requires orthodox medication or treatment. Thus, the Muslims should be adequately informed about the Islamic medication in the Qur’an and *sunnah* of the Prophet Muhammad (S.A.W). And those who are blessed with the knowledge should spread and disseminate it and not hoard it for themselves.

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## **TOWARDS UNDERSTANDING THE ISLAMIC CONCEPT OF THE HEART AND ITS RELATIONSHIP WITH MAN'S INTENTION/ACTIONS**

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### **Abstract:**

In Islam the heart is viewed as the essence of man. This is due to the fact that it occupies a great and lofty position in the spiritual development of man; the place to which God looks and the storehouse for tawhid, faith and sincerity. In actual fact, actions in Islam are distinguished with respect to their excellence in the sight of Allah in accordance with the condition of the heart. In spite of its lofty position, it was discovered that Muslims, especially in the contemporary period have lost the understanding of the importance of the role of the heart. Their focus is generally on actions or beliefs with little regards for the intention. It is in the light of the above that this paper attempts to increase Muslims' understanding on the role of the heart in the psychological and development of man, and also to emphasize the relationship that exists between it and intention/actions of man. This has been carried out from the Islamic perspective using the Qur'an and sunnah as framework.

**Key Words:** Islamic concept, man's interactions

### **Introduction**

The teachings of Islam have such depth and vastness that it views the heart beyond the physical organ; within Islam, the role of the heart cannot be understated. It is a spiritual heart that contains the deeper intelligence and wisdom. It holds the Divine spark or spirit within every human being. In the Holy Qur'an, the heart is referred to as the processor of information, particularly concerning sincerity. This reference to the heart as such attracts attention to the relationship between the heart and intention. In other words, the goal of this paper is to make the believers develop a heart that is sincere, loving and compassionate, and to develop the heart's intelligence. The paper starts by giving a conceptual and contextual analysis of the heart, highlighting its importance to the gross personality traits of man. It thereafter examines the types of heart and its connection to the soul; remedy for defective hearts and the relationship that exists between the heart and intention/action of man and then the conclusion.

### **Conceptual and Contextual Analysis of the Heart**

The heart has been variously defined and described by scholars in reference to different context. In basic anatomy, the heart is defined as a hollow muscular organ in vertebrates that pumps blood received from the veins into the arteries, thereby maintaining the flow of blood through the entire circulatory system.<sup>1</sup> It is also described as the vital center and source of one's being, emotions and sensibilities. The repository of one's deepest and sincerest feeling and beliefs; the seat of the intellect or imagination. It has the capacity for sympathy, generosity, compassion, love and affection, courage, resolution and fortitude.<sup>2</sup>

In Islamic framework, the term heart is known in Arabic as al-Qalb which is derived from the root word qalaba which denotes "to turn around", "turn about", "to change", "alter", "transform", "transmute" etc.<sup>3</sup> The heart thus refers to something changing quickly. In reference to the changing nature of the heart (al-Qalb), the Prophet is reported to have said:

The heart (al-Qalb) takes its name from its constant changes (taqallub). The heart is like a feather at the root of a tree, being turned over and over by the wind.<sup>4</sup>

Al-Ghazali in *Ihya' Ulumi 'd-din* points out that the heart (al-Qalb) denotes two things: the physical heart and the spiritual heart. He therefore mentions that the spiritual heart is the essence of man. It contains the deeper intelligence and wisdom and it is the potential seat of God's illumination. As such, the spiritual heart should be kept sound and healthy for the physical body to operate optionally.<sup>5</sup>

However, the overall Islamic conception of the heart (al-Qalb) does not portray it only as merely a muscular organ that pumps blood throughout the body or mere affection and emotions. It views the heart as the seat of intellectual and cognitive faculties and understanding, volition and intention. It is a 'super-sensory organ' that is cognizant of metaphysical truths. The heart plays a significant role in human psychology as well as spiritual development.<sup>6</sup> It suffices to say that, if the heart is sound, the rest of the body will be sound and the actions of the body will be pure. The Prophet says:

In the body, there is a morsel of flesh which, if it is sound, all the body is sound and which, if it is diseased all of the body is diseased. This part of the body is the heart.<sup>7</sup>

The above Prophetic tradition underlines the fact that the spiritual heart can become unhealthy with various diseases like lust, anger, jealousy, hatred etc. This is because the spiritual heart functions in a similar manner as the physical heart. Just as the physical heart supplies blood to the body, the spiritual heart nourishes the soul with wisdom and spiritual light and it also purifies the gross personality traits.<sup>8</sup> Therefore, when the physical heart is diseased the entire body suffers and when the spiritual heart is diseased the soul suffers.

In other words, the important role the heart plays in the personality of man lies in the fact that it is the foundation, i.e. the owner of the limbs, and so the limbs are its soldiers. So, when the owner becomes purified its soldiers become purified, and when it becomes impure then its soldiers become impure. Expatiating on this, Zarabozo in Aisha writes:

The rest of the limbs are subservient to and obey the heart. The heart is the commander and the limbs are the soldiers. Therefore, if the heart is good, the 'soldiers' and their acts are good and if the heart is evil, the 'soldiers' and their acts are evil. If the heart is completely pure it will contain only love for Allah, love for the things that Allah loves, fear of Allah and fear of engaging something that Allah hates. Such a heart will abstain from all the forbidden acts and will also abstain from the ambiguous matters out of fear that they are forbidden. If the heart is greatly evil, it will follow its own desires and it will perform the acts that it loves regardless of whether Allah loves those acts or not.<sup>9</sup>

Lending credence to the above assertion, al-Asqalani also writes in *Ibn Taimiyyah*:

The heart has been singled out for this because it is the leader of the body, and through the purification of the leader the subjects become purified, and with his corruption they become corrupted...<sup>10</sup>

The heart is mentioned several times in the Qur'an either in reference to itself or to the chest that contains it.<sup>11</sup> For example, the capacity of the heart to reason and understand is expressed in several Qur'anic passages such as:

So have they not travelled through the land, and have they hearts wherewith to understand and ears wherewith to hear?" verily, it is not the eyes that grow blind, but it is the hearts which are in the breasts that grow blind. (Qur'an 22:46)

And we have created for Hell many of the jinn and humankind. They have hearts wherewith they understand not, they have eyes wherewith they see not, and they have ears wherewith they hear not. They are like cattle, nay even more astray; those! They are the headless ones. (Qur'an 7:179).

The Qur'an also refers to the breast that contains the heart as the repository of secrets. This reality is espoused severally in the Qur'an pointing out the fact that whatever is contained in the heart is known to Allah.

Say (O Muhammad) whether you hide what is in your breast or reveal it, Allah knows it, and He knows what is in the heavens and what is in the earth. Allah is able to do all things (Qur'an 3:29).

And whether you keep your talk secret or disclose it, verily, He is the Knower of what is in the breast (of men) (Qur'an 67:13).

The heart is further explored in the Qur'an in several places in relation to being diseased;12 hardened;13 sealed14 covered;15 divided;16 locked up to understanding and knowledge of Allah17 and constant remembrance of Allah.

### **The Heart (Al-Qalb): Its types and Connection to the Soul (Ruh)**

The heart (al-Qalb) is said to be connected to the soul as an integral component. The connection of the heart to the soul as viewed by al-Ghazali is such that resembles the connection of attributes with the bodily limbs, or a machine with the operator, or a house with its inmates.18 To some other scholars, the exact nature of this connection is unknown. In spite of the above, the heart is divided into three types which have similarity with the descriptions of the three levels of the soul.19 These are the healthy heart, the dead heart, and the sick or defective heart.20

#### **1. The Healthy Heart (Al-Qalbu's Salim)**

This is a pure heart that has only love for and fears of Allah. It loves those things that Allah loves, and hates that which He hates. This type of heart is healthy, sound and pure because it is free from any desires that oppose the commands of Allah and from any doubt that contradicts what He reveals. This heart submits completely and relies on Allah alone. Thus it is living, humble, soft and gentle.21 This is likened to the tranquil soul (nafsu'l Mutma'innah) 22

#### **By way of description, Ibn Qayyim states:**

A heart that is full of belief and guided by its light. It gets the veil of sensual pleasures cleared away the light of belief is luminous in this heart. Its luminosity has a glow that may burn the devil when he approaches it. Such a person looks like the sky that is guarded by stars which cause devils to burn if they exceed them.23

The Qur'an therefore affirms that the healthy heart will be of great benefit to its owner in the Day of Judgement.

The Day when there will not benefit (anyone) wealth or children, but only one who comes to Allah with a sound heart. (Qur'an 26:88-89)

For more understanding, Zarabozo has highlighted some basic signs with which the healthy heart is indicated. The signs include: 24

1. Considering oneself as belonging to the next world and not this world eager to reach the hereafter.
2. Being upset after committing a sin, until repentance is complete.
3. Teaching unhappy and discontent at missing daily recitation of Qur'an or remembering Allah through praising and supplicating into Him.
4. Finding the pleasure of worshiping Allah more satisfying than any other pleasure.
5. Finding that worldly worries and concerns are absent when in a state of prayer.
6. Trying to use every moment wisely instead of wasting time.

#### **2. The Dead Heart (Al-Qalbu'l Mayyit)**

This type of heart is the direct opposite of the healthy heart as it has no life. It neither recognizes its Lord nor worships Him. Hence it is ignorant of its Creator.25 It follows its whims and desires and is immersed in worldly pleasures. It also engages in acts that it loves regardless of whether Allah loves those acts or not. This type of heart is similar to the commanding soul (nafsu'l ammarah).26

It is a dreary and harsh heart that worships other than Allah with love piety and hope.27 As such when the name of Allah is mentioned or the Qur'an is recited; this type of heart reacts with aversion.

And when Allah is mentioned alone, the hearts of those who do not believe in the hereafter shrink with aversion, but when those (worshiped) other than Him are mentioned, immediately they rejoice. (Qur'an 39:45).

This type of heart is further described as one devoid of faith and devoid of all good. With such a benighted heart, the devil relaxes his whisperings for he has already taken residence in this heart, a territory for him to rule as he pleases – in complete control.<sup>28</sup>

### **3. The Unhealthy / Sick Heart (Al-Qalbu'l Marid)**

This type of heart is between the first two hearts (i.e. healthy and dead hearts). It has some amount of life, but is also defective.<sup>29</sup> It contains love of Allah and faith in Him, but at the same time, it harbours a love of vain desires and the material world. It continuously wavers between the two conditions of safety and destruction and eventually become a dead heart if efforts are not made to purify it.<sup>30</sup> This is also likened to reproachful soul (Nafsu'l lawwamah) <sup>31</sup>

A vivid description of this type of heart is given by Ibn Qayyim thus:

Heart illuminated by faith. Lamps are lit therein, but the shadows of passions and impulses remains. In this heart, the devil sometimes finds a welcome, sometimes rejection; but it is a territory he yearns for. The war waxes and wanes. People of this kind vary greatly: among some the devil usually defeated; among other still he sometimes (wins) and sometimes (loses).<sup>32</sup>

The following are signs that indicate a diseased heart.

1. Not feeling hurt or pain when committing sins.
2. Finding pleasure in committing acts of disobedience to Allah.
3. Showing concern about less important matters while neglecting more important ones.
4. Disliking the truth and having difficulty accepting or submitting to it.
5. Feeling discomfort among righteous believers, but contentment among misguided people, sinners or even evil doers.
6. Not being affected by admonition.<sup>33</sup>

### **Remedy for a Defective Heart**

It is crystal clear from the foregoing that all acts of disobedience make the heart to be defective and thus closed to any form of guidance of Allah. Noticeable among these acts of disobedience which have the strongest negative impact upon the functioning of the heart are: unnecessary and harmful speech; unrestrained glances, over indulgence in food, and bad company.<sup>34</sup>

Moreover, according to Ibn Qayyim the heart becoming defective revolves around two basic matters. The corruption of knowledge and the corruption of intent, which in turn lead to many destructive illnesses – anger and misguidance. He stressed further that misguidance is the end result of the corruption of knowledge and anger is the end result of the corruption of intent. These two diseases are the lords of all the ailments that afflict the heart.<sup>35</sup>

Nevertheless, the cure for a defective heart lies in holistic purification of it. This involves among others, knowing the Truth and following it, seeking refuge with Allah and putting trust in Him; praying a great deal of supererogatory prayers; performing the actions of obedience to Allah frequently; praying night prayer while the people are sleeping; making the heart continuously stick to the remembrance of Allah; befriending only righteous; reciting the Qur'an frequently as well as abstaining from indecent actions and sins.<sup>36</sup>

In furtherance to this, Aisha quoting Zarabozo in regards to purification of the heart explains:

And the heart cannot become purified until the person knows Allah, extols Him, loved Him; fears Him, has hope in Him and trusts Him and his heart is filled with these attributes. This is the true realization of the statement, 'There is no God except Allah'. The heart will not become pure until it loves, extols, defies, fears and submits to no one except Allah. And if the heart is pure, the limbs will follow and make the actions of the person pure as well.<sup>37</sup>

### **The Heart (Al-Qalb) in Relation to Man's Intention/Actions**

The relationship between the heart and the intention lies in the fact that the place of intention is in the heart and not else where. Thus, intention is referred to as the 'actions of the heart'. For the purpose of clarification, intention according to Zarabozo quoting Ibn Qayyim is defined as people's knowing what they are doing and knowing the purpose behind the action.<sup>38</sup> Al-Ghazali also explains that intention does not only entails knowledge of the action but will to do it and strength to implement

the will. Without knowledge of a thing, a man does not intend to have that thing, and without will, there is no movement of physical organs to do that thing.<sup>39</sup>

As earlier mentioned, intention is the action of the heart, and thus it is more than the actions of the limbs. In fact, in Islam actions are not accepted or sound except with intention. The Prophet affirms thus:

Actions are only judged according to intentions and every man shall only have that which he intended. So whoever migrates for Allah and His Messenger then his migration will be for Allah and His Messenger. And whoever migrates for worldly benefits or for a man to marry her, his migration will be for what he migrate for.<sup>40</sup>

Scholars have explained that the relationship between the heart and man's intention and action revolves around stages which the heart goes through before an action finally takes place. The first stage is when a thought first comes upon the heart and this is called *al-Hajis*. The second stage is when the thought remains in the heart known as (*al-Khatirah*). The third is the indecision stage whether to do something or leave it. In these stages whatever transpires in them attracts neither reward nor punishment. There is another stage which is called *al-Hamm*, a situation when consideration is given to doing something; and yet another stage is known as *al-Azm*, a stage of determination and will to do something. As for the stage of Hamm, the good thoughts are written down while the bad are not. But if one decides to act upon his thought, then if it is good it is written down as a good deed and if it is bad it is written down as bad deed. The reason for this is that having the will to do something is like doing it.<sup>41</sup>

A good description of the above assertion is contained in a Prophetic tradition collected by Bukhari and Muslim:

Whoever considers doing a good deed but does not do it will have one complete good deed written for him. Whoever does it, will have ten good deeds up to seven hundred up to many more multiple of that written for him. Whoever considers doing an evil deed and does not do it will have one complete good deed written for him. If he does it, one evil deed will be written for him.<sup>42</sup>

The import of the above hadith is that one may have the intention of giving charity without having money to do so and thus have the reward of the action. Therefore, when the heart considers doing something, then the good deeds are written down while the bad deeds are not. However, if one decides to act upon his thoughts then both the good and bad deeds are written down because of the will power he possesses. This is to say that bad intention leads to bad deeds.

## Conclusion

This paper has shown that in Islam the heart is considered the most precious part and divine habitation in man. However, quite contrary to what Allah desires our hearts to be as clearly enunciated above, Muslims in the contemporary period have lost the understanding of the importance of the role of the heart. Their focus is generally on actions or beliefs with little regards for the intention. Intention is indeed, an action of the heart and a purified heart is one that embraces virtues no matter how difficult and shuns vices no matter how alluring and attractive they are.

Nevertheless, quite disgusting are the cases of some Muslims who breed demonic and vicious hearts. For their petty material/worldly gains they can go to any extent at perpetrating evils, even to kill people indiscriminately. The Qur'an regards such vicious and cruel people worse than animals and hard stones. They are regarded as tyrants, oppressors, hypocrites and terrorists. This is because they have eventually turned their hearts into a shelter which the devil occupied and appropriated to himself. This paper therefore concludes that for the heart of the believers to be expanded and overflowed with divine knowledge, understanding, faith and sincerity, then, necessary steps should be taken to follow the guidance from Allah and develop noble and good characters through purification of the heart which entails the love of Allah, fear of Him and having hope and trust in Him.

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- The different States of the heart mentioned in the Qur'an exceed one hundred and twenty in number.
- See Qur'an 2:10; 5:52; 8:49; 9:125; 22:53
- For example, read Qur'an 2:74; 22:53; 39:22; 57:16
- For instance Qur'an 7:100 reads: "Is it not clear to those who inherit the earth in succession from its (previous) possessors, that had We willed, We would have punished them for their sins. And we seal up their hearts so that they hear not". Read also, Qur'an 40:35; 47:16; 63:3.
- See Qur'an 17:46; 41:5
- See Qur'an 59:14
- Qur'an 47:24 reads: "Do they not think deeply in the Qur'an or are their hearts locked (up from understanding it).
- A. M. al-Ghazali, *Ihya' Ulumu 'd-Din*, Vol. 3, p.5
- The three levels of the Soul are: Nafsu 'l-amarah (Commanding Soul); Nafsu'l lawwamah (reproachful soul); Nafsu 'l-Mutma'innah (tranquil soul).
- See Ibn Qayyim al-Jawziyyah, *Ighathatu 'l lahfan Min Masa'idi 'sh-Shaytan*, Beirut, Lebanon, Dar al-Kotob al-ilmiiyyah, 2004, p.13
- Ibid. See also, Ibn Taimiyyah, Diseases of the Hearts and their Cures, p.11
- Nafsu'l Mutma'innah is a virtuous self which differentiates between good and bad according to divine injunctions. It becomes completely dominated by inclinations towards piety and righteousness. It loves and desires goodness and detests evil deeds, so it rarely (if ever) responds to or complies with the urges to commit evil deeds. For more details, see J. Zarabozo, *Purification of the Soul: Process, Concept and Means*, Denver,
- Ibn Qayyim al-Jawziyyah, *Sahihul Wabil As-Sayyib Minal Kalim At-tayyib( A Revision of The Plentiful Deluge of Palatable Utterances)* Egypt, Dar Al –Manarah,2009,p.44
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- Unlike the tranquil soul (Nafsu'l Mutma'innah), Nafsu 'l-Ammarah (Commanding Soul) is the evil self. It does not differentiate between good and bad. It therefore instigates people towards evil. This is the lower level of the soul which inclines towards the physical world and seeks bodily desires and pleasures. The soul is controlled by its whims and desires, such that it disobeys and commits sins easily. See W. K. Singh & A. R. Agwan, (ed.) *Encyclopedia of the Holy Qur'an*, Vol.4, India, Global Vision Publishing House, 2006, p. 1020.
- Ibn Taimiyyah, Diseases of the Hearts and their Cures, p.11
- Ibn Qayyim al-Tawziyyah, p.14
- Ibid p.15
- A. Utz, Psychology from the Islamic Perspective, p. 78
- It is self-reproaching soul that recognizes evil deeds, blames itself for wrongdoing and feels a sense of remorse. This soul also blames itself for not doing more good deeds. After recognizing their evil

natures and the wrong done to their own souls, people with reproach souls seek repentance from Allah and attempt to correct themselves. See J. Zarabozo, *Purification of the soul*...., pp.66-67.

Ibn Qayyim al-Jawziyyah, *The Invocation of God (Al-Wabilu 'l Sayyib mina 'l-Kalimi 'l-Tayyib)*, Cambridge, U. K.: Islamic Texts Society, 2000, p.31.

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A. M. al-Ghazali, *Ihya' Ulumi 'd-Din*, Vol.5, p.5

*Sahih al-Bukhari*, Vol.1, Hadith No. 53

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## MYSTICAL ASPIRATIONS AND SOCIAL RESPONSIBILITY IN CHRISTIAN-DAOIST INTERFAITH DIALOGUE

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### Abstract:

The Daoist classics are convinced that mysticism is a necessary condition for a productive life. At first glance, this may seem a paradox. Daoist sages do not seek effectiveness, external results or success but rather, unity with Dao. Their fundamental and most important purpose is one – to live by the principles of Dao. In fact the Daoist classics are sure that authentic mysticism cannot remain fruitless. Isn't Daoism overly naive by accenting a leader's virtuousness and interior, mystical life? Can such a viewpoint be seriously assessed today, when the major roles in ruling democratic countries are played out by laws and transparently operating national institutions? The philosophy of Daoism does not deny the significance of laws but merely emphasizes that a virtuous governmental official is no less necessary to the successful evolvement of a country than is a good base of laws.

This paper analyzes the essential parameters of mysticism in Daoism and their relationship with social life. The Christian view on Daoist mysticism assists in highlighting the special valuable elements of this teaching and their meanings in the sphere of public life.

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**Key Words:** Daoism, Mysticism, *Kenosis*, Social responsibility, Interfaith dialogue

### Introduction

The image of the heron standing in a body of calm water, which is so well liked in Chinese visual arts, conveys the mystical lifestyle of a Daoist sage. It seems the heron is doing nothing but resting, probably snoozing. The heron's inactivity first refers to the Daoist wuwei (non-action) principle. A Daoist sage lives as if engaged in nothing, submerged in silence and devoid of earthly ambitions. Such a contemplative lifestyle could appear similar to idleness. Nonetheless, the existence of the Daoist sage is maximally concentrated, vigilant and purpose-directed. The heron symbolizes absolute calm that is, at the same time, absolute attentiveness of the existing state. A heron does not squander its attention and inner resources: it is not a curiosity seeker and does not glance around at its surroundings. Nonetheless, it observes the surroundings and sees everything that appears important and necessary to it. It is on watch duty. The image of the Daoist heron is reminiscent of the urging in the Gospel to be vigilant. Jesus spoke repeatedly to his disciples about the importance of vigilance, "And what I am saying to you I say to all: Stay awake!" (Mark 13: 37). Vigilance has become a Christian feature, which particularly was practiced in the monastic vocation. The Fathers of the Church and the later Christian spiritual teachers were fond of comparing clear and muddy waters. For muddy water to become clear, it must settle calmly, in the same as a person must achieve peacefulness in the soul, to be able to see God within a now, purified soul. The book of *Wenzi* speaks very similarly, "No one uses flowing water for a mirror, still water is used for a mirror. By keeping thus inwardly, you become still and are not scattered outwardly."<sup>161</sup>

The Daoist lifestyle encourages controlling heated actions and fostering inner peace. The focused and calm sage is able to direct his entire inner energy—qi—in the proper direction. Nothing is

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<sup>161</sup> *Wenzi*, 94. After in 1973 a [bamboo](#) manuscript of the *Wenzi* dated to 55 B.C. was found in the tomb of King Huai near Dingzhou in [Hebei](#), Eastern China, the *Wenzi* was re-classified as one of the most important texts of the Daoist philosophical heritage. All citations are from the only existing English translation of *Wenzi* to date: T. Cleary, *Wen-tzu. Understanding the Mysteries. Further Teachings of Lao-tzu*, Boston & London, 1992.

more important to a heron than catching a fish; nothing is more important to the human than to decipher the mystery of life and to concentrate power on the most important purpose of life.

This paper analyzes the essential parameters of mysticism in Daoism and their relationship with social life. The Christian view on Daoist mysticism assists in highlighting the special valuable elements of this teaching and their meanings in the sphere of public life.

### **Effectiveness of Daoist mysticism**

The Daoist classics are convinced that mysticism is a necessary condition for a productive life. At first glance, this may seem a paradox. After all Daoist sages do not seek effectiveness, external results or success but rather, unity with Dao. Their fundamental and most important purpose is one – to live by the principles of Dao. In fact the Daoist classics are sure that authentic mysticism cannot remain fruitless. In and of itself, it traces a diverse effectiveness.

When mountains are high, clouds and rain form on them, when waters are deep, dragons are born in them; when ideal people reach the Way, the richness of virtue flows in them. Those who have hidden virtues will surely have manifest rewards; those who do good deeds in secret will surely have illustrious reputations.<sup>162</sup>

Wenzi compares the sage to a high mountain and a body of deep waters. Two images that are the opposite of one another are used here. However, they are specifically best at revealing the characteristics of a sage. The Daoist sage is not a one-sided personage. If a sage is able to achieve oneness with Dao, then various, positive features, or as Wenzi asserts, the “richness of virtue” manifest in that sage. By his knowledge and wisdom, the sage is similar to a high mountain where its shade offers pleasant refreshment from the sweltering midday heat; and by the sage’s goodwill – to the body of deep water, a favorable sphere for the growth and for the development of living beings. Wenzi emphasizes that the mountain, as much as the body of water, influences the surroundings. The same way as the clouds, which gather around the mountain, water the parched earth with rain and as the deep waters form the conditions for habitation by the dragon – the symbol of goodwill, power and wisdom – thus, the sage who lives in oneness with Dao serves society with wisdom and goodwill. Additionally, since a sage has great insight, he/she often gives rise to social initiatives.

Daoism accents the meaningfulness of hidden virtues. These are more important than visible ones because they affect the internal resolve of a person. The person who has inner virtues surely has outward virtues as well, whereas the person who is satisfied with the outward alone (which Daoist tradition considers as inferior) faces the danger of becoming merely superficially virtuous. “Those who possess high virtues do not need [to engage in lower] virtue. Those who possess mundane virtues have to force themselves to be virtuous.”<sup>163</sup> It is not difficult to perceive the necessity of inner, hidden action and the power of inner virtues in all the teachings of classical Daoism. Inner action constitutes the foundation of any sort of outward activity. Inner quality creates external results in and of itself whereas, if only external results are sought without heed to the quality of inner life, then an unstable and unnecessary product is produced. The Daoist classics often mock outer virtues and point out their negligibility and incapability.

Wenzi chapter 97 unavoidably reminds us of the teachings of Jesus to contribute alms, pray and fast in secret (cf. Matthew 6: 1–18). Jesus emphasizes that our Heavenly Father shall reward people for such good works. Meanwhile the Daoist tradition highlights the self-effectiveness of hidden virtues and good works done in secret. Wenzi does not assert that Dao shall reward them. Nonetheless, it is to be understood that positive, secret action is in accord with the Way of Dao, thus it will meet with success and recompense.

Good works done in secret and hidden virtues are part of the Daoist sage’s day-to-day life. Texts of the Daoist classics do not say whether secret practices take up the greater part of a sage’s day. It can be guessed from certain areas in the book of Laozi that it depends on circumstances. A sage can devote a great deal of time to internal practices and good works done in secret, so long as

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<sup>162</sup> *Wenzi*, 97.

<sup>163</sup> *Cultivating Stillness. A Taoist Manual for Transforming Body and Mind*, Transl. Eva Wong, Boston & London, 1992, p. 107.

duties or life's circumstances do not force the sage to be involved in public activities. On the other hand, he can devote much time and energy to public activities and lessen his secret actions to a minimum. Nevertheless, a sage gives secret practices the priority.

Although a Daoist sage values hidden virtues more than he does public activity, his mysticism is not a purpose in and of itself. The technique of mystical life is not as important to the sage as is the realistic oneness with Dao. Such unity undoubtedly has numerous mystical elements but it is not only a hidden reality. Oneness with Dao encompasses the entire existence of a sage and manifests in the entirety of that sage's life. It is impossible to hide; the same as a city built on a hilltop or a light placed on the lamp-stand (cf. Matthew 5: 14-15).

### **The way of humility: Nothing can surpass water**

A Daoist sage seeks to live in harmony with nature and its processes. Of its own accord, this encourages the sage to create harmony in the community. Thus the entire essence of the sage is devoted to the needs of the community. He is convinced that harmony in communal life springs from goodwill, which is grounded in a close individual relationship with Dao. If a sense of duty bases the public activities of a Confucian sage then, for a Daoist sage, it is the mystical unity with Dao. Duty, whether an internal or external obligation, from the perspective of a Daoist sage, is not able to generate stable wellbeing in the life of a community for long. Therefore, the Daoist sage bases his/her social obligations on intensive mystical practices and the pursuit of all-encompassing harmony.

The way of heaven is to reduce what is much to add to what is little; the way of earth is to decrease what is high to augment what is low. [...] The way of humanity is not to give to those who have much. The way of sages is humility that no one can overmaster.<sup>164</sup>

The way or the task of heaven and earth is to create harmony in nature by adding what nature lacks at this time and reducing what is overabundant. The vocation of people is to create harmony in the community by reducing poverty and social inequality. It is understood in and of itself that a sage performs what is known as the way of all humankind. Despite this, Wenzhi makes a clear distinction between common people and sages. If all people must have compassion for one another and help each other, then the vocation of a sage is to seek mysterious humility. Wenzhi expresses the conviction that a sage cannot limit his life only to social activity. His vocation lies in the way of humility. Here, however, we would greatly delude ourselves if we understood humility in a narrow sense. In Daoism humility associates with water and its uncontrollable force. Water on its way surmounts all obstacles; that is why Laozi said about water that "nothing can surpass it".<sup>165</sup> Yet water is a symbol of Dao itself. Thereby, humility, as the way of the sage, implies the dimension of transcendental life. The mystical unity of a sage with Dao lays the groundwork for an exceptional moral and spiritual power to manifest in that sage's life.<sup>166</sup>

Although humility is one of the virtues in Christianity, it takes on special meaning in the writings of distinguished theologians. As Doctor of the Church Isidore of Seville was pointing out the etymological link of humility (Latin *humilitas*) with earth (Latin *humus*), he came close to identifying humility with the spiritual fertility of the entirety of Christian life: the same as the earth sprouts fruit in ripened plants, so humility brings forth matured virtues and successful activity.<sup>167</sup> Thomas Aquinas believed that humility eliminates the obstacles between a human being and God: "Thus humility is, as it were, a disposition to man's untrammelled access to spiritual and divine goods."<sup>168</sup> The Doctor Angelicus concluded that "*humilitas facit hominem capacem Dei*" ("humility makes the human receptive to God")<sup>169</sup> and, akin to the tradition of Daoism, stressed that "*humilitas ad*

<sup>164</sup> Wenzhi, 95.

<sup>165</sup> Laozi, 78. Translation by D. C. Lau.

<sup>166</sup> Cf. R. Dulskis, *The Purpose of Human Existence and the Meaning of Immortality in Daoism*. In: *The Philosophical Basis of Inter-religious Dialogue: The Process Perspective*. Editor: M. Patalon. Cambridge Scholars Publishing, 2009, pp. 109-120.

<sup>167</sup> *Etymologiae*, lib. X, ad litt. H.: „*humilis dicitur quasi humi acclinis*“. In: Thomas de Aquino, *Summa theologiae*, Roma, 1962, II, II, 161, 1.

<sup>168</sup> *Summa theologiae*, II, II, 161, 5.

<sup>169</sup> Thomas Aquinas, *In Mattheum*, 11. In: Thomas von Aquin, *Sentenzen über Gott und die Welt*, Einsiedeln: Johannes Verlag, 2000, p. 166.

sapientiam disponit” (“humility prepares for wisdom”).<sup>170</sup> Thereby, authors both on Daoism and on Christianity agree that humility and wisdom are closely interrelated. These two qualities support one another and lay the premises for a mature mystical experience as much as for the social realization of human vocation.

### **Kenosis and social responsibility**

Nonetheless, Daoism asserts yet another meaning of humility. To be precise, it would be appropriate to name it as an essential dimension of the virtue of humility. Although it is associated with the image of water, it reaches much further. Laozi talks about “being the valley of the world”:

Know glory and keep to humility  
[or disgrace as translated by J. Legge and D. C. Lau].  
Become the valley of the world.  
Being the valley of the world is eternal power.<sup>171</sup>

The image of the valley identifies with the image of water: a river flows in a valley, the waters of which moisten the earth. The Daoist sage consciously decides to be like a valley: this means, to follow Dao and serve people in the most noble manner. Such a decision demands determination and magnanimity because it is the choice for a self-sacrificing lifestyle. The Chinese character 辱 (rǔ) which, in Laozi chapter 28, appears as the antithesis of the character 榮 (róng), meaning glory, is differently translated by various sinologists: as humility by Sanderson Beck, disgrace by James Legge and D. C. Lau, and obscurity by Lin Yutang. Thus, here, Laozi talks about the sage’s lifestyle that is related to the kenosis of Christ. The Daoist sage is similar to the image of the suffering Servant presented in The Book of Isaiah: “I have offered my back to those who struck me, my cheeks to those who plucked my beard; I have not turned my face away from insult and spitting” (Isaiah 50:6).

This idea is expanded even more in Laozi chapter 78. The author says that a sage dares to bear the humiliation (or reproach) of the people and to take upon him/herself the calamities (or direful woes or sins) of the society.

Those who bear the humiliation (or reproach as translated by J. Legge) of the people are able to minister to them.

Those who take upon themselves the sins<sup>172</sup> (direful woes as translated by J. Legge or calamities by D. C. Lau) of the society are able to lead the world.<sup>173</sup>

What is Laozi talking about here? Are these vital truths of life or merely poetic, philosophical considerations detached from the reality of the world? How is it possible to take upon him/herself the humiliation of the people and the calamities of the society? And, even if this were possible, what is the meaning of it? The book of Laozi does not undertake any comprehensive answer to these questions. It merely underscores that such behavior is very necessary for society and that such persons “are able to lead the world”. However, Laozi does not explain his view on this. The book merely outlines the most important principles of a sage’s life, which often sound paradoxical. Nevertheless, Laozi notes that paradoxes specifically reveal the truth of life: “Words of truth seem paradoxical”.<sup>174</sup>

Certain attitudes of the Daoist classics appear nearly identical to the teaching by the Apostle Paul on the following of Christ. Paul comprehends the humility of Christ as an all encompassing, generous devotion to the Father: “He was humbler yet, even to accepting death, death on a cross” (Philippians 2: 8), and he urges his followers, “Make up your own mind of Christ Jesus” (Philippians

<sup>170</sup> Thomas Aquinas, *Quaestiones disputatae de malo*, 8, 3 ad 8. In: *Ibidem*.

<sup>171</sup> *Laozi*, 28. Translation by Sanderson Beck.

<sup>172</sup> 不祥 literally is *non-blessing*.

<sup>173</sup> *Laozi*, 78. Translation by Sanderson Beck.

<sup>174</sup> *Ibid.*

2: 5). This sounds much like the urging by Laozi to become like a valley and accept the humiliation and the calamities of the world. Paul says, much like Laozi does, that Christ knew the glory of His Father but maintained humility: “Who being in the form of God, did not count equality with God as something to be grasped. But he emptied himself, taking the form of slave” (Philippians 2: 6–7). Nonetheless, there is an obvious difference between the two religious traditions on this issue. The New Testament talks about the kenosis of Christ and considers Him as an example for all the faithful, whereas Daoist texts recommend the kenotic lifestyle to all sages appealing to the social fruitfulness of such a choice.

### **Mysticism and political insight**

Confucianism, as much as Daoism, pays a great deal of attention in its doctrine to the virtuousness of rulers. Both teachings express the conviction that the rule of a country will not be successful if their rulers are not virtuous and noble. However, Daoism goes even further in talking about the vocation of rulers for a mystical life:

If rulers are not humble to their subjects, the influence of their virtue will not be effective. Therefore, when rulers are humble to their subjects they are lucid and clear, and when they are not humble to their subjects they are blind and deaf.<sup>175</sup>

A wise ruler is “like a river, which is flavorless but endlessly useful”.<sup>176</sup> Flavorlessness refers to the rejection of any sort of egoism and harmful ambitions. The river is not concerned about its image; its water simply carries all that is necessary for nature – for plants, for animals and for people. River waters refresh the earth, sustain life and ripen the new harvest. That, according to the Daoist classics, is how a ruler should be: a ruler should not be making efforts towards self-aggrandizement but upholding good initiatives by the citizens and fostering the nation.<sup>177</sup> Humbleness gives rulers insight because, due to their humbleness, they do not distance themselves from the problems of the common people. The Daoist classics are convinced that, when first and foremost a ruler follows Dao, that ruler understands his vocation to serve his country and its people. By being concerned with performing his duties appropriately, the ruler gains insight and wisdom. Otherwise, when a ruler distances himself from Dao, he loses virtues and, by the same token, is no longer capable of concern for true justice and honesty in his own country. Then the harmony of communal life goes askew, and honest officials of the country are forced to withdraw:

When the sun emerges over the horizon, beings grow; when true leaders preside over the populace, they illumine the virtues of the Way thereby. When the sun goes down below the horizon, beings rest; when petty people preside over the populace, everyone runs and hides.<sup>178</sup>

Isn't Daoism overly naive by accenting a leader's virtuousness and interior, mystical life? Can such a viewpoint be seriously assessed today, when the major roles in ruling democratic countries are played out by laws and transparently operating national institutions? The philosophy of Daoism does not deny the significance of laws but merely emphasizes that a virtuous governmental official is no less necessary to the successful evolvement of a country than is a good base of laws. Social ethics, according to the Daoist classics, cannot rely on itself of its own accord, but must rest on an inner, personal relationship with Dao. If the foundation of social ethics in Confucianism consists of the personally obligating Tian ming or Will of Heaven, then in Daoism, it is the mystical unity with Dao that encompasses a person's entire existence.

Not only a ruler of a country but also each and every person holding a responsible position, has the vocation for a mystical life. If such a person does not live the mystical life, that person lacks

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<sup>175</sup> Wenzl, 95.

<sup>176</sup> Wenzl, 82.

<sup>177</sup> Cf. L. Kohn, *Daoist Mystical Philosophy. The Scripture of Western Ascension*, New York, 2007, pp. 156–158.

<sup>178</sup> Wenzl, 95.

insight. It will be difficult for such a person to grasp the true designation of human existence. He/she makes an essential error in life and thereby impoverishes the self. This person in his/her life sets purposes, which does not conform to the way of Dao. Since there is no other reality than that of Dao, such a person begins to live a life of illusions. It will seem to this person that his/her way is “knowledgeable and bright”,<sup>179</sup> and such an erroneous, good opinion about the self only deepens his/her life’s tragedy. Due to erroneously comprehending the self, such a person also lacks perception in many areas of social life. The Daoist classics emphasize how important it is for a ruler to have sufficient insight for ruling a nation. Such insight, according to them, closely relates to a ruler’s experience with a mystical life. So long as a ruler lives in unity with Dao, that ruler is capable of building a country where righteousness and other virtues predominate. The citizens of such a country, as *Wenzi* says, feel satisfied with their duties and the results of their work. “Merchants make their markets convenient, farmers enjoy their fields, officials are secure in their jobs, independent scholars practice their ways and people in general enjoy their work.”<sup>180</sup> On the contrary, when virtuousness diminishes in a society, then production and business diminish, taxes rise disproportionately and punishments must be meted out more and more often to maintain order. A faulty situation forms in the country, however it is not permissible to criticize it, critics are punished, and the virtuous are dismissed.<sup>181</sup>

By following the style of discourse by the Daoist classics, which does not avoid paradoxes, it can be stated that the leaders whose only concern is the ruling of a country are bad leaders. What should be of greater concern than governing the country is their own relationship with Dao and the practice of their moral and mystical life. Only then will they be capable of governing their country appropriately and successfully.

## Conclusion

The Daoist classics talk about mysticism first and foremost as the lifestyle of a sage. Rulers are also obligated to become sages, because the quality of their rule destines the fates of other people. Do the Daoist classics consciously limit themselves to sages and rulers alone? The reality of life testifies that sages are always a minority in society. Some of the places in the texts of Laozi actually present a sage as an entirely lonely person. In any case, it would be naive to expect that searching for wisdom would become popular in society. Nonetheless, there is no apparent basis for claiming that the Daoist classics would have narrowed their circle of followers consciously and artificially. A sage does not represent some special class of people but rather each person who yearns to live a life of wisdom and harmony.

In Christianity mysticism closely associates with theological love. In classical Daoism, despite its expansion of mysticism, the topic of love is lacking. Nevertheless, respect for nature and for people is very much pronounced here. It would be absolutely unacceptable to a Daoist sage to harm the harmony in nature or hurt another person. The entire wisdom of Daoism is abundant with subtle attention to others.

An analysis of the mystical aspects of Daoist teaching reveals the elements of this rich doctrine born in ancient China. Some of these elements, albeit, their remaining unique to the culture of Chinese thought, seem to be related to Christian doctrine and the Christian worldview at the same time. Ancient Chinese sages grasped numerous, important factors about human existence and had the ability to explain about them in their writings. These texts, which have survived to our days, were guideposts of life and an inspiration for many generations of humankind. Naturally, over the course of history, they have received various and not only one-sided interpretations. Regardless, today, and especially when looking at them from the Christian perspective, we can find many ideas in the works of the Daoist classics that are “Christian” in their deepest sense. Daoist mysticism does not speak about salvation and a vocation to holiness like Christianity does, but it does extend an invitation for a wise and kenotic lifestyle. Kenotic wisdom maximally approaches what the New Testament refers to

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<sup>179</sup> *Laozi*, 20. Translation by Sanderson Beck.

<sup>180</sup> *Wenzi*, 75.

<sup>181</sup> Cf. *Wenzi*, 75.

as the following of Christ: “This, in fact, is what you were called to do, because Christ suffered for you and left an example for you to follow in his steps” (1 Peter 2: 21).

A mystical component of human life becomes pronounced in Daoist texts as an imperative that cannot be changed by anything. Authentic mystical experience is not only important to a person of any profession but also essential for that person to be able to perform his/her duties appropriately. It cannot be denied that Daoist sages were critical of social activity that arises from a narrow sense of duty or that harms the harmony of the universe. On the contrary, activity that is based on knowing Dao and has a mature mystical experience, flows naturally into the harmonious process of the world’s evolvment and fosters progress.

## **SOCIAL AND PSYCHOLOGICAL ASPECTS OF RELIGIOUS EXTREMISM PREVENTION AMONGST YOUTH**

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### **Abstract:**

Public consciousness of modern Kazakhstan is currently experiencing re-evaluation of the role of religion in culture, history of nations, spiritual and moral development of man. Influence of religion and various religious associations both on national consciousness, security and religious context in the Republic of Kazakhstan is constantly growing. Traditional religions widely spread in Kazakhstan are: orthodox Christianity and Islam (the Sunnis).

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**Key Words:** Religion, religious extremism, terrorism, religious destructive organizations, youth

### **Introduction:**

Recently the number of believers in Kazakhstan has significantly grown. At the turn of 1970-80s according to the social scientists' researches, believers comprised 10-24% of population. At the beginning of 2000 there already were 50-54% of believers.

As of 11th October 2011 the Law of the Republic of Kazakhstan "On religious activity and religious associations" was adopted which was put into force on 25th of October of the same year. Adoption of this law became an important step in development of spiritual life of people, regulation of activities of religious associations, fostering better cooperation between the state and religious confessions", - noted Head of Agency of Kazakhstan for religious affairs K. Lama Shariff on the round table dedicated to the implementation of the RK Law "On religious activity and religious associations" in Almaty. One of the first steps to implement the Law was adoption of 4 main by-laws including registration and re-registration of religious organizations.

As of the enactment date of the Law there were 4 551 religious associations conducting their activities. In 2012, 3088 religious associations representing 17 confessions were re-registered (RK Agency for religious affairs).

Concurrently with increasing the number of believers there is a growing number of cross-confessional tension the main reason of which is the struggle for recruitment of new adepts. Geopolitical and economic status of nowadays Kazakhstan is attracting not only business but various missionaries who increasingly press religions traditional for Kazakhstan in the struggle for influencing believers.

Over the last years in the country have significantly activated different non-traditional religions, occult-and-mystical dogmata, missionaries who having significant funds and wide experience of missionary activities are conducting destructive work in Kazakhstan. Development and strengthening of positions of new religious movements are promoted thanks to the shaping of a new model of relationships between the church and the state, recognition of rights of religious associations of various types to exist.

According to the Prosecutor General's Office data there are 1870 religious organizations of such kind in the country which create a threat to national security and stability.

"An active destructive work in Kazakhstan is held by representative of a number of occult-and-mystic dogmata. They are amounted to 1870 religious organizations, the most numerous amongst them are "Scientology", "A new life" and others", - reported S.Nurpeissov, an official representative of the Prosecutor General's Office [1].

Psychological ground of the majority of new religious movements is based on plans for radical world restructuring and promises of inclusion to the true belief, financial and spiritual prosperity. In the context of social and economic instability, rapid changes in society most of people converting to non-traditional religions with a hope to gain peace of mind are often attracted by unusual relationships between each other and intragroup atmosphere taken as a whole.

Troubling events of the last years in Kazakhstan related to the escalation of religious-based conflicts did show that this problem was already out of the range of mythical threats to our national and state security as a secular state moving on the way forward to democracy and civil society. Therefore, the threat of confessional extremism in our multinational and multi-religious society really exists and it is impossible to treat it frivolously.

The problem of religious extremism has a plenty of aspects. Amongst them along with social, political, legal and economical ones, it should be given prominence to the psychological aspect requiring all-around comprehension and in-depth study. Social and psychological aspects are defined by the following tasks: identification of nature and sources of religious extremism and terrorism as well as development of effective tools of confrontation to terroristic challenge. It requires comprehensive social and psychological protection of person, social groups and societies from religious extremism and terrorism as one of the most dangerous forms of physical and psychological violence on a person.

Normally, a person becomes a follower of one or another religion not by nature, but due to the certain social reasons since religion performs an important compensatory psychological function – replacement of the lost dignity and solace. “Religious” experience gained afterwards determines the system of relationships of a person with the outside world, shapes a certain behavioral model of a person. Concurrently, individual and personal features of formation of a belief lead someone to religious fanaticism, someone to the concentrated accomplishment of commandments prescribed by religious tradition of a nation, someone to logical understanding of that every person is in need of self-development.

Historical experience shows that the main pillar of radical religious destructive organizations is ensured by lack of sufficient life experience of youth and vulnerable social groups having no job, no house and no funds to survive. Usually, the main body of such groups is made up by men who thereafter begin to involve own relatives – mothers, sisters and wives into the organization’s activities. In such a way people involved in different religious organizations have insufficient educational, social and financial level, their age ranges between 15 and 35 years old.

Studies have found that one of the most important factors enabling involvement of young people is the low level of religious awareness, and most often - mere religious ignorance. It ought to be noted that religious awareness in any form today are included into the content of school programs on different school disciplines, primarily, humanitarian cycle (history, social studies, literature etc.).

Subject of scientific research became focused on influence of various theological learning on a personality of learners, generation of their moral values. Theological, philosophic and worldview agenda, environmental and ethical development of school children are included into training and experimentation courses of innovative schools.

However, with regard to the state school this problem remains challenging, various proposals are made and original models are shaped. That’s why there are more and more developments authors of which are striving to interpret a phenomenon of studying religious knowledge in the modern secular school in a system-based manner, in logics of the whole educational process, in relation to the general direction of mindset formation, personal culture of learners.

An active discussion is caused by an issue of teaching of confession-oriented disciplines (Basics of Theology etc.) at secondary schools. At the same time it ought to be noted that there are a wide scatter of opinions and views. For instance, one of the eminent scientists A.Mashanov called for religious upbringing of the rising generation, claiming that “our Koran contains both science and philosophy. It is required to amend all school books on the basis of Koran... If a School Master was an imam and held Koran in his hands it would be much better

The matter of religious experience of man and qualities developed based on it, featuring this person is often considered as conditions for his exposure to influence of others.

Current understanding of the problem of terrorism is associated with the problem person religiosity especially his adherence to Islam. Anti-terrorism effort is becoming one of the most important problems of the modern world. Why people from traditional religious believers become fanatic capable of committing a crime? What kind of personal features and human values enable him to assume the role of a “kamikaze” or a suicide bomber? What is able to promote this phenomenon? What are the destructive sides of religious experience of man?

To study this problem amongst youth we did a pilot research. An express survey was taken amongst Almaty students. Overall number of participants was 120 people at the age of 19-25 y.o., where the number of men and women was much the same.

We have developed a questionnaire which included questions of adherence to one or another belief, availability and necessity of religious education, core values in religion, and attitude to new religious movements etc.

Questionnaire analysis has shown that more than 90% of the respondents counted themselves believers, where were representatives of different religious streams: Orthodoxy – 30 %; Judaism – 5 %; Islam – 50 %; new religious movements (e.g. “New Age”, “Russian neo-paganism”) – 8 %; atheists – 7 %.

In the course of research we find out that, in general, religion as a social phenomenon is spoken positively by – 43% of the respondents, negatively – 38%, and 19% were undecided.

Religious education is available with 5 % of the respondents, 30 % of the respondents would like to get religious education (in Kazakhstan – 20 %, abroad – 10 %), refuse to get religious education for various reasons - 70 %.

In answer to a question whether you stick to all provisions of your religion? 50 % responded – partially, 50 % responded that the main thing for them is faith, and the rest is not mandatory to adhere to. When asked whether you observe religious feasts – positive answers were given by 75 % of the respondents.

To a question what attracts you in religion, 80 % responded – true belief, an opportunity to communicate with others - 10 %, and humanitarian assistance to worshippers – 10 %.

In such a way we see that 90 % of the respondents count themselves as believers which means for them observance of the main religious provisions, celebration of religious holidays, but religion as a positive social phenomenon is considered by 43 % of the respondents only. Under the conditions of low level of religious awareness – 5 %, only 30 % of young people are willing to get in-depth theological education.

So far, Kazakhstan as well as other Central Asian countries has faced with present challenges in the religion sphere: with occurrence of radical Islam, with development of destructive forces which pose a threat to national independence of Kazakhstan. During the questionnaire held the following questions were also asked: What is your view on that new and non-traditional for our countries religious movements are actively progressing and operating in Kazakhstan? Respondents who are totally against – 70 %, legally entitled to do so – 20 %, others – 10 %.

The main reasons for outspread of non-traditional religious movements in Kazakhstan respondents consider: parity of all religious movements – 5 %; imperfection of legislative power – 5 %; ideological vacuum emerged after fall down of the Soviet Union – 5 %; business from religion – 45 %; religious ignorance of people – 40 %.

At the same time to a question – how much do you think Kazakhstan society is influenced by new religious movements? 60 % of the respondents said that they have no idea about it and such movements haven’t significant influence.

When asked: Are you familiar with a term of “destructive sects”, responded: Yes – 50 %, No – 50 %.

Are you familiar with a term of “pseudo-Muslim terroristic organization”? Yes – 50 %, No – 50 %.

What kind of religious organizations you would refer to terrorist, extremist one? Al-Jazeera; Wahhabis; Al-Jazeera; Wahhabis; Al-Jazeera; Wahhabis;

What kind of religious organizations you would refer to sects? Wahhabis; Hamas; al Qaeda; Al-Jazeera; none.

**Conclusion:**

Results of our study have shown that lately in Kazakhstan there is a significant growth of religious activity amongst youth, especially within Muslims. Usually, gaining of religious experience of youth has certain positive effect in neutralization of the fear of death, deprivation and stress. On the other hand, fanatic commitment to religious dogmata affects increasing of anxiety level, impulsiveness, decreases critical abilities which facilitates formation of religious fanaticism.

Religious coping as a tool of using religious thoughts and behavior forms is one of the most important psychic regulators of human life and activities and a factor shaping human personality. A great role in shaping of world-view of man plays the depth of religious beliefs ranging from deep to doubtful. A positive role is played by the formation of self-esteem, self-belief and abilities to control own life and emphatic ability.

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# RELIGIÃO, HETERONOMIA E ÉTICA DA INTERSUBJECTIVIDADE

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## Abstract:

Religious experience is peculiar among all other experiences and it is eminently functional, because it presupposes forms of living and being, which have direct and immediate implications in human relations. Connoted with certain concepts and values (e.g. freedom of choice or goodness) religious experience tries to improve human relations. This is a recognizable role of religion either as a natural or cultural manifestation. Along with Ethics, human being has guidelines to choose forms of life, to think, to say or to do what it is convenient. There is a heteronomy of symbolic representation forms and human relations that are guided through them either by religion or Ethics. Therefore, the accurate use of freedom is always convenient. The purpose of this essay is to trace a path of mutual subjectivity, i.e. a desirable and ideal transition from an “individual I” provided by religious experience to a “social I” of what I call the mutual subjective ethicism. Religion and Ethics are a condition sine qua non to understand the heteronomy of ways through which there is a mutual subjectivity, allowing to operate the production and consumption of social meanings and values.

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**Key Words:** Ethics, heteronomy, inter-subjectivity, religion, secularism

## 1. Introdução:

Existem diversos tipos de experiências quotidianas. Todas possuem valores sociais, ético-morais, políticos, estéticos, etc. Estes valores dependem da cultura e dos interesses predominantes na sociedade. O modo como se vive (as experiências e os valores) suscita juízos críticos ou, pelo menos, reflexões espontâneas. São, in toto, experiências imanentes que exigem participação e envolvimento, porque são integrantes e transformadoras, até ao ponto de determinarem os modos de pensar, sentir e agir. São também, por isso, experiências construtoras da pessoa, enquanto ser social e cultural, na medida em que não existem experiências puras ou simples apreensões e assimilações objectivas da realidade. Por exemplo, experiências estéticas, experiências éticas, experiências políticas ou, nomeadamente, experiências religiosas.

Estas experiências são próprias da vida humana. Ser humano pressupõe ser social, gregário, participante numa dada cultura interiorizada e expressa nos mais diversos modos de agir, regras de conduta, formas de falar e de pensar, enfim, maneiras de ser e de estar. As experiências são heterogéneas mesmo quando são do mesmo tipo. Segundo Jesús Casás Otero (2003: 91) “o facto de nos encontrarmos com tanta variedade de religiões pode ser explicado não apenas pela diversidade de experiências pessoais no encontro com o fundamento sagrado como, sobretudo, pelos condicionalismos culturais dos distintos povos”. Apesar de partilharem elementos comuns, todas as religiões possuem a sua própria história, tradição e cultura que permitem mudanças estruturais, como o ganho ou perda de popularidade de um santo; mudanças doutrinárias e novas visões sobre uma realidade mais ou menos moderna e secular.

A experiência religiosa é necessariamente subjectiva e, por conseguinte, também é, de certo modo, intraduzível e incomunicável, individualizando o crente num mundo empírico, porque qualquer experiência consiste num fluxo contínuo de vivências singulares (Rodrigues, 2011: 65-66). Trata-se de uma maneira própria de ver o mundo e este dado afigura-se, por conseguinte, o maior desafio do presente ensaio, pois pretendese fundamentar a experiência religiosa como objecto de estudo ou de reflexão crítica e dialéctica, sendo esta mesma experiência caracterizada, como se disse, por uma maneira própria de ver o mundo.

Se a experiência é imanente, subjectiva e heterogénea, edificada sobre determinados valores, como relacioná-la, conforme o título e o propósito deste ensaio, com uma ética da intersubjectividade? Como pensar sobre estes dois conceitos (“experiência” e “ética”) sem os remeter

para uma relação de correspondência e de oposição? De correspondência (unilateral, todavia), porque ambos não se implicam mutuamente: não existe ética sem (bases na) experiência (do mundo); mas existem experiências que não são objecto de reflexão da ética; de oposição, porque quer a experiência quer a ética encerram-se em domínios distintos: a experiência, no âmbito do pathos (paixões, sentimentos e emoções); a ética, no do éthos (traços de “carácter”; e/ou éthos, “residência ou morada própria do ser”). A experiência, composta por estados interiores (pensamentos, percepções, sensações, sentimentos, etc.), pertence ao mundo vivido e indizível, individual, inalienável e inadiável, i.e. mundo da diferença não partilhável. A ética, como capacidade cognitiva e prática inerente ao ser humano consciente e com responsabilidade sobre os seus actos e na base do que lhe é permitido na sua relação com os outros, pertence ao mundo racionalizável, dizível, social, public e alienável, i.e. mundo da identidade partilhável.

Ora, como falar do pathos através do éthos? Como tornar ética a experiência e, nomeadamente, a experiência religiosa? Estamos perante um paradoxo: se a experiência é singular, subjectiva e idiosincrática e a ética é normativa ou descritiva, coerente e sistemática, como se podem complementar? O paradoxo da ética é contribuir para a heteronomia<sup>1</sup> da intersubjectividade nas experiências religiosas, i.e. tornar-se uma eticidade objectiva e universal da experiência religiosa e da experiência ética, uma hibridez de moralidade religiosa.

Associar a experiência religiosa a uma ética universal parece, *prima facie*, um exagero conceptual, mesmo que o propósito seja, como é neste ensaio, o de traçar um percurso da intersubjectividade, i.e. um trajecto desejável de um “Eu individual” da experiência religiosa para um “Eu social” da eticidade. Este percurso, da pessoalidade à alteridade, é o da heteronomia, o das multiformes possibilidades de inter-relação, independentemente da religião, crença, cultura, valor moral e ético,<sup>2</sup> etc. Relativamente audaz per se, esta proposta conduz a um profícuo campo de problematização: 1) O que pode e deve fazer a religião para a integração e intersubjectividade das heteronomias sociais e culturais? 2) Como alargar a vivência pessoal, a partir de uma experiência religiosa, para uma prática social, ética e universal? 3) Considerando a diversidade dos modos de interacção e intersubjectividade, bem como a heteronomia das sociedades e culturas, quais são os benefícios da religião numa época actual marcada por traços seculares ou pós-seculares? 4) De que modo os valores morais e éticos, associados a uma vivência pessoal da religião, podem contribuir para um projecto mais alargado de uma ética universal da intersubjectividade? 5) Quais são as inter-relações profícuas entre a religião e a ética?

Todas estas questões têm a ver com o modo de universalizar a religião. Não uma religião universal, mas a prática de religiosidade, necessariamente subjectiva, imanente e heterogénea. Considerando uma moralidade religiosa, uma forma de ética da intersubjectividade ou ética da heteronomia, contrapõe-se a ética da subjectividade de Kant, que é essencialmente uma ética da autonomia, sendo a primeira um percurso de integração das diferenças e da heteronomia cultural.

O título “Da experiência religiosa à heteronomia da ética da intersubjectividade” deduz o traço desse percurso heteronómico e intersubjectivo da ética, que começa na experiência religiosa pessoal (particular) e se estende a um campo de aplicação impessoal e geral da ética (universal). Como se depreende, o objecto de estudo insere-se no campo interdisciplinar da religião e da ética, sendo esta a perspectiva de abordagem da religião a partir da sua concepção como variante cultural, i.e. “artefacto” susceptível de ser intervencionado pela ética.

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1 No âmbito da ética, pressupõe-se uma proveniência multiforme e exterior (à razão) do significado, compreensão e assimilação da realidade, e.g. por mediação das formas de representação simbólica como a linguagem, com consequências determinantes nos modos de agir para a prática do “bem”.

2 Considere-se a diferença entre moral e ética. A moral consiste num saber vivencial, grupal e não necessariamente científico, pela qual as acções são exteriores à pessoa, porque são praticadas por hábito.

“A ética analisa a dimensão pessoal da acção, mostrando o modo como agir surge da própria interioridade da pessoa que age”, não sendo neste caso uma conformidade com a lei, mas “a fidelidade ao centro pessoal do qual a acção emana” (Renaud & Renaud, 1999: 960; cf. também Savater, 2009: 50-51). À transcendência prática da moral opõe-se a imanência reflexiva da ética.

Sendo a religião um fenómeno social, justifica-se com mais propriedade e pertinência a aplicação da ética na normalização das condutas e na consciencialização de responsabilidades e liberdades de expressão e de prática de culto religioso. A ética é o estudo dos fundamentos da acção humana. A procura da felicidade, que as religiões propõem como desígnio e sentido para a vida quotidiana, depende de escolhas que devem ser guiadas também pela razão (e não apenas pela emoção). A virtude na vida quotidiana é o equilíbrio nas escolhas e nas acções como critério para a felicidade. Esta sequência de acções e virtudes origina um problema central da ética: o da relação entre a pessoa e a norma, da qual depende a questão da liberdade.

A essência da eticidade não reside na natureza humana, i.e. na estrutura ética da pessoa. Pelo contrário, é edificada progressivamente ao longo da vida. A consciência ética não é adquirida nem formada de uma só vez nem para sempre. A moralidade de certos discursos, actos ou comportamentos varia consoante os critérios de tempo, espaço, cultura e idade. Independentemente do credo, a religião tem a virtude de contribuir para esta edificação ética e moral da pessoa, na medida em que incute boas práticas sociais, um regramento das condutas e a orientação para o respeito da liberdade pessoal face aos outros, enquanto princípio básico da intersubjectividade. Se Deus precisasse da religião para poder inspirar boas acções e condutas, as pessoas precisariam mais da religião e da ética para corresponderem aos critérios de valor estimados e apreciados numa dada sociedade ou cultura. A observância dos comportamentos segue, in face ecclesia, uma ordem cultural (convencional) proposta pelo seguimento de uma dada religião, como forma de aceitação social da pessoa. A justificação da eticidade nas experiências religiosas passa pela consideração de que não serão totalmente irracionais as crenças baseadas em valores éticos, se os comportamentos resultantes dessas crenças religiosas forem coerentes com os próprios valores das crenças, apesar de a moral não ser absoluta e igual em todas as pessoas e culturas. É este o sentido das palavras de Ludwig Wittgenstein (1979: 77; 1999: § 6.421) quando declarou que “a ética não trata do mundo; a ética tem que ser uma condição do mundo, como a lógica”.

Em todas as sociedades existem acções e comportamentos considerados bons e maus, justos e injustos, correctos e errados. Este maniqueísmo sobre os valores éticos também está presente nas experiências religiosas e até condiciona as formas de intersubjectividade. O ser humano é um ser finito. A sua finitude nem lhe permite optar por não agir. Quando o ser humano age, já encontra um saber codificado e códigos pré-existentes sobre os valores, um conjunto de regras, uma sabedoria que dá aos seus actos um conjunto de critérios (Magalhães, 2010: 8). A realidade encontra-se codificada pelas formas de vida (de cultura e de religião) em sociedade. É como uma imposição para a organização, liberdade e respeito social. Valoriza-se o que se considera útil para todos. Trata-se de uma adaptação ao ecossistema cultural.

Conforme sublinhou Fernando Savater (2009: 24), “entre todos os saberes possíveis existe pelo menos um que é imprescindível: o de que certas coisas nos convêm e outra não”. O que convém é considerado “bom”; o que não convém é considerado “mau”. Conhecer e reconhecer o que nos convém e distinguir entre o “bom” e o “mau” é importante para a vida quotidiana e é facultado quer pela religião quer pela ética. Esta última beneficia do facto de se constituir como propósito racional para averiguar como viver melhor. O interesse da eticidade da experiência (não apenas religiosa) reside na possibilidade de nos agradar uma “vida boa”, o que apenas é possível se estabelecermos distinções e não vivermos de qualquer maneira (Savater, 2009: 63). Uma vantagem declarada da religião e da ética prende-se com a possibilidade que estas dão às pessoas para evitarem ou mudarem uma determinada maneira de ser e de estar, se esta for considerada inadequada no respeito pelos outros, na medida em que as pessoas podem e sabem agir ou se comportar de um outro modo.

Reflectir sobre a eticidade da vida e a experiência religiosa serve para ajudar a desenvolver uma consciência moral competente no plano pessoal, profissional, social e cívico. Serve para ajudar a descobrir o valor da liberdade ou exercer a cidadania para uma vida social mais justa e orientada no encontro das finalidades que dão sentido à vida. Este ensaio é, por conseguinte, apologetico da relação

entre a religião e a ética, numa época propensa à formação de sociedades e culturas modernas ou tendencialmente seculares.

O ser humano possui, essencialmente, uma tripla dimensão: a) é ser social e estabelece relações sociais com os outros; b) é ser moral e toma consciência de si (e do sentido último da sua existência), do outro e do mundo; c) é ser político e intervém ou se relaciona harmoniosamente com o meio social organizado). Sobre a alínea b), a estrutura moral da pessoa, atua mais incisivamente a religião e a ética.

Por conseguinte, o objectivo principal deste ensaio é compreender a heteronomia de modos pelos quais se verifica a intersubjectividade e se operam a produção e consumo social de significados e valores a partir da experiência religiosa, por um lado, e traçar o quadro conceptual de uma análise crítica e compreensiva sobre as formas de construção social, cultural e simbólica da ética na orientação de acções e comportamentos sociais.

Para o aludido objectivo atendeu-se ao âmbito teórico deste ensaio e às exigências conceptuais do tema, pelo que a metodologia mais apropriada ao estudo da experiência religiosa enquadra-se numa análise crítica e dialéctica. Considerando que é essencialmente aporético o âmbito das investigações sobre religião e a ética, como acontece com outros domínios das ciências sociais e das ciências humanas, seguiu-se uma metodologia que partiu da identificação ou formulação de um problema central. Este problema é: Os conceitos (e.g. “liberdade”, “bondade”, “bem”, etc.) e os respectivos valores são conceitos ético-morais absolutos ou são simples concepções sociais e culturais propostas pela religião como forma de vida?

O fenómeno religioso pode ser estudado por uma variedade de áreas científicas e respectivos objectivos, métodos e instrumentos de abordagem, quadros teóricos e conceptuais, modelos de análise, etc. São os casos da Antropologia (designadamente da Antropologia da Religião, Antropologia Cultural e Antropologia Social); Etnografia; Etnologia; Sociologia da Religião; Teologia; Ciências da Religião; e Filosofia da Religião. Estas disciplinas desenvolveram-se com o tempo e adquiriram um dado grau de singularidade, mesmo se convergirem na abordagem (não no tipo de abordagem nem no método de abordagem) de um mesmo objecto: a religião. Podem até se influenciar mutuamente ao ponto de justificarem a interdisciplinaridade. É esta interdisciplinaridade que importa referir para fundamentar o presente ensaio, na medida em que o mesmo incide sobre um objecto de estudo cruzado por várias disciplinas sociais e humanas que, não sendo próprias desta abordagem, a sua complementaridade interessa para a compreensão do tema-problema exposto.

Ao contrário da Antropologia ou Etnologia (ciências supostamente mais indutivas), não se privilegiam neste ensaio filosóficas técnicas de investigação através de uma experiência directa e comparativa. Sobrevaloriza-se a inscrição de dados recolhidos e seleccionados através da pesquisa, numa teorização em quadros conceptuais de interpretação, método próprio de ciências supostamente mais dedutivas.

## **2. Natureza e cultura da experiência religiosa:**

Os conceitos de “religião” e de “cultura” estão associados pelo entendimento comum de religião como fenómeno social, quer devido à vivência, prática e expressão colectiva das manifestações religiosas quer devido à integração de crenças, valores, atitudes, padrões culturais e rituais com um enfoque sobrenatural. Entende-se que “religião” é um conceito cultural, cujo alcance e delimitação conceptual associa os indivíduos às respectivas culturas.

A religião é uma dimensão inerente à vida humana e, por conseguinte, constitui uma forma de sentido. Mas uma forma relativa de sentido, porque é um sentido cultural e existem inúmeras e diferentes culturas. A religião, enquanto sistema simbólico e autónomo de comunicação, insere-se na sociedade, incluindo as mais complexas, como as atuais sociedades ocidentais, tecnológicas, globalizadas e seculares.

O que é parte de uma dada cultura também é parte de uma dada religião vivida que, por conseguinte, determina padrões e modos de viver o conjunto de actividades e interesses característicos de um povo. Desde sempre que o sagrado funciona para as pessoas como um instrumento de compreensão da condição humana. No entanto, como admitiu Émile Durkheim (2002: 11), “não existe um instante radical em que a religião tenha começado a existir”. As religiões “correspondem às

mesmas necessidades, desempenham o mesmo papel, dependem das mesmas causas”, pelo que podem server do mesmo modo para “manifestar a natureza da vida religiosa” (Durkheim, 2002: 7).

A religião é eminentemente social. Enquanto sistema de representação, a religião é colectiva e exprime uma certa realidade colectiva (Durkheim, 2002: 19; Aron, 2007:350). É provável que, conforme acrescentou Durkheim (2002: 12), os primeiros sistemas de representações do mundo e da condição humana sejam de origem religiosa (in primis, o totemismo). Durkheim descreveu a religião como um eminente facto moral e social, uma relação estreita e acentuada entre o sistema simbólico de crenças e representações (a religião) e o sistema social e político de organização colectiva (a sociedade). Esta perspectiva social, cultural e moral sobre a religião demonstra a sua relatividade, mas fundamenta uma ética universal propulsora de intersubjectividade face à heteronomia.

A questão da origem da religião, que é uma outra questão, funde-se na questão mais importante de compreender as experiências religiosas próprias da natureza humana, na medida em que esta natureza humana já justifica, de certo modo, a origem religiosa do ser humano, das culturas e sociedades humanas. Assim se justifica porque não existe ser humano, cultura ou sociedade humana sem práticas sociais ou formas colectivas de prestação de culto. Por isso, As Formas Elementares da Vida Religiosa registam a presença da religião na natureza e cultura humana.

Neste sentido, é particular a distinção de Régis Debray entre a experiência espiritual e a experiência religiosa, considerando que ambos os domínios da realidade, o espiritual e o religioso, podem intersectar-se, mas não se sobrepõem. Enquanto a experiência espiritual diz respeito ao sujeito e à sua vida interior ou às “operações de Deus na alma”, cujos exemplos são João da Cruz e Teresa de Ávila, a “experiência religiosa orienta-se para o colectivo; ela extroverte o íntimo e revela o invisível, ligando as colinas inspiradas à planície, e o mais relevante ao mais trivial” (Debray, 2005: 27). Para Debray, a experiência espiritual fomenta a associação entre a alma e Deus, enquanto a experiência religiosa fomenta a união entre o indivíduo e o meio envolvente de templos, calvários, mesquitas e sinagogas. O espiritual preenche a esfera íntima da consciência individual; o religioso preenche a esfera pública e quotidiana, reforçando a coesão do grupo através de várias práticas devocionais de unificação social (ortopraxias ou regulação de condutas).

A parábola hindu do cego e do elefante é demonstrativa da diversidade de experiências religiosas que se pode obter e entender de uma mesma realidade: Deus seria como um grande elefante rodeado por vários cegos, cada um tocando em partes do elefante (cauda, tromba, perna, barriga) pensando que estaria a tocar em algo muito diferente (corda, cobra, árvore, parede) respectivamente (Meister, 2009: 31; Schmaltz, 2003: 1-2). Todos os cegos estariam a experienciar o mesmo elefante, mas Segundo maneiras muito distintas, tal como acontece com a diversidade religiosa.

Esta analogia popular revela que todas as experiências religiosas são válidas para descrever um dado Deus e a aceitá-lo de uma determinada maneira, i.e. a maneira como esse Deus é visto e se torna objecto de crença e culto. Segundo a mencionada parábola hindu, todas as religiões são iguais na necessidade de algo para adorarem Segundo vários tipos de cegueiras sobre a mesma realidade, independentemente das distintas descrições que a fé cega permite traçar.

O pluralismo religioso subjacente ao sentido da parábola sustenta que uma verdade sobre o que constitui a realidade depende, de igual modo, de cada concepção religiosa, que a torna percebida e sugestionável para os respectivos crentes. Os padrões conceptuais sobre a religião condicionam a percepção e o entendimento que as pessoas fazem de uma mesma realidade, contribuindo para que cada comunidade de crentes interprete e retire os sentidos que “precisa” para continuar a considerar uma dada realidade no âmbito da sua religiosidade.

### **2.1. O conceito de experiência religiosa:**

A questão sobre a natureza da experiência religiosa visa indagar a conveniência em se considerar uma essência dessa mesma experiência e, por conseguinte, a identificação e caracterização da mesma. As crenças e práticas religiosas das diversas religiões ou credos terão elementos em comum? Os participantes partilharão sentimentos idênticos enquanto participam nas práticas devocionais?

A natureza humana proporciona uma diversidade de experiências religiosas. Todas as pessoas possuem experiências. Cada uma destas experiências é única para quem a vive. Por conseguinte, todas as experiências são subjectivas, i.e. diferentes.

Para compreender o conceito de “experiência religiosa” torna-se prioritário empreender uma definição clara e esclarecedora de um outro conceito mais simples e integrado, o de “experiência”. Mais simples, mas não tanto uniforme, como reconheceu William James (1920: 311). Para esta compreensão das experiências religiosas muito contribuiu As Variedades da Experiência Religiosa, em 1906. A experiência religiosa seria, a partir de então, concebida como particular, mas muito conotada com o homem primitivo, permitindo o surgimento da Antropologia, no início do século XX, pensada como ciência dessa experiência mística, própria de um homem primitivo, por se aperceber em contacto imediato e constante com um mundo invisível e superior. Mais tarde, Edward Sapir seguiu esta abordagem sobre a importância da experiência pessoal para a religião, i.e. a vivência e manifestação do individual, a experiência, para o colectivo, a religião (Obadia, 2011: 40).

Um elemento essencial da experiência religiosa foi proposto por Rudolf Otto como um processo de transformação, i.e. ter consciência ou sentimento de si como ser absolutamente dependente ou criatura dominada. Pressupõe-se neste processo a existência de um outro, o elemento sagrado, Deus ou o que quer que seja que se reconhece como divindade. Na experiência religiosa, o elemento “outro” é o mais essencial e resulta de um reconhecimento e de uma tomada de consciência imediata do “outro” como sagrado ou divino, i.e. como algo exterior ao próprio (Rowe, 2011: 212). Este processo de consciência é resultante do que Charles Morris (1974: 34) designou por processo de semiosis, em que algo se torna signo de alguma coisa por via de uma construção de sentido, como acontece com a crença na transubstanciação do corpo e sangue de Cristo em pão e vinho, respectivamente. Tem de haver um reconhecimento para haver uma tomada de consciência, assim como tem de haver uma estrutura de significação para se verificar o reconhecimento imediato e espontâneo sobre o significado.

A expressão “experiência religiosa” refere-se a um elemento sagrado, i.e. a uma experiência do ou sobre algo considerado sagrado pela comunidade, cultura ou sociedade e, principalmente, pela própria pessoa. A presença de um tal elemento sagrado exige a sua respectiva representação simbólica e posterior compreensão e anuência, pelo que todas as experiências, designadamente as religiosas, são mediadas por signos. A experiência religiosa insere-se num dado contexto religioso, inclui sentimentos, crenças e práticas sociais. É uma vivência inalienável e, por conseguinte, intensamente pessoal.

Segundo Chad Meister (2009: 170) existem três características gerais que são comuns ao fenómeno da experiência religiosa: a) universalidade, i.e. a presença de elementos comuns, necessários e suficientes a todas as experiências (e.g. uma necessária e suficiente relação entre a imanência humana e a transcendência sagrada); b) diversidade de formas de ter e manter essas relações binomiais entre imanente/transcendente, profano/sagrado, contingente/necessário, racional/irracional, dizível/indizível; e c) importância para a vida.

O nosso mundo é, em muitos sentidos, um mundo religioso. Pelo menos porque a maior parte das pessoas afirma e pratica uma determinada forma de crença religiosa (Meister, 2009: 19). As formas de crença e de expressão de experiências religiosas são ubíquas. Todavia, é difícil apresentar uma definição rigorosa acerca do que constitui a essência da religião, porque existem diferentes maneiras de a conceber e de a praticar. Mesmo com a diversidade religiosa (hinduísmo, budismo, judaísmo, cristianismo, islamismo), alguns aspectos são centrais e comuns: um sistema de crenças e de práticas centradas numa realidade sobrenatural; a ruptura entre a realidade mundana e a realidade transcendental da religião; as atitudes e os significados últimos para a vida humana face a entidades divinas, etc. Como sustentou Hans Küng (2005: 16), “em todas as culturas os homens se confrontam com as mesmas grandes questões [...] mas também porque nas diferentes culturas muitas vezes os homens obtêm de suas religiões respostas semelhantes”. Face à diversidade religiosa sobre a verdade na interpretação do mundo, existem também várias abordagens ou atitudes a tomar, como o teísmo e o ateísmo; o agnosticismo; o relativismo e o pluralismo religioso.

As características da experiência religiosa configuram um determinado traço comum na natureza humana, pois são como critérios para a definição e compreensão da própria religião, nomeadamente:

- 1) A divindade, a existência de entidades consideradas sobrenaturais ou sagradas, o divino, numa dimensão superior à profana;

- 2) A ideia de “sagrado”, distinta de 1), pois é a ideia e não a existência de algo considerado de uma determinada forma, o que torna a experiência referente ao sagrado ou a um elemento sagrado;
- 3) Comportamentos sociais, práticas colectivas e atitudes explícitas que exprimem crenças também colectivas sob formas variadas, devido à influência das formas de vida culturais sobre o entendimento partilhado de “religião” e a ideia de “sagrado” (trata-se de um alargado conjunto de comportamentos, práticas e atitudes, mas também de crenças, mitos, ritos, actos e discursos em conformidade com 1) e 2) e que determinam o seguimento de formas de vida predeterminadas e códigos morais, bem como certas interpretações de 2);
- 4) A institucionalização das relações das pessoas ou relações de 3) com 1), através de modelos culturais e padrões conceptuais.

A experiência religiosa é a mais importante entre todas as experiências humanas, principalmente entre as finitas e transitórias. Aproxima o crente e o divino e torna-se, por isso, inconfundível e imperecível. Proporciona sentimentos de protecção, por parte do poder que se reconhece no sagrado, funcionando como factor de consolação ou protecção. Por isso, a experiência religiosa influi directamente no modo de ser e de estar no mundo, pelo que também exige critérios (como a “Regra de Ouro”, presente de uma forma ou de outra em todas as religiões) que a tornam o factor predominante para a intersubjectividade numa dada cultura ou sociedade.

## **2.2. Mediação simbólica e cultural da experiência religiosa:**

Ser humano implica criar e manter relações com os outros, adoptar e adaptar, como condição *sine qua non*, hábitos colectivos de pensar, sentir e agir, consoante uma estrutura de valores. Ser humano pressupõe sempre, conforme salientou Wilhelm Dilthey (2000: 21) a compreensão dos outros. Esta compreensão incide sobre uma individualidade ou subjectividade que é objectivada com a exteriorização ou expressão religiosa e ética dos aludidos valores.

É neste quadro relacional e valorativo que se integram as experiências religiosas como sistema cultural, segundo a perspectiva de Clifford Geertz (2000: 20, 87), na medida em que definem os modos como queremos ser tratados enquanto seres humanos, i.e. modos resultantes do que queremos uns dos outros para nos formamos colectivamente como seres sociais, culturais, religiosos, éticos, morais, enfim, seres com linguagem que significam e comunicam uns com os outros todas as experiências estéticas, éticas, políticas e religiosas (Savater, 2009: 99-112; Schellekens, 2007: 13).

A definição que Clifford Geertz (2000: 89) apresentou de “religião” como sistema cultural justifica a pertinência, o interesse e a importância da compreensão, interpretação e discussão crítica da experiência religiosa enquanto objecto de estudo, porque relaciona a religião e a cultura. Fá-lo mediante a exploração do sistema de símbolos que estabelece, por seu turno, interacções de mensagens, estados de espírito e de concepções sobre o mundo. A cultura é um sistema ordenado de significações, símbolos, crenças e valores que permitem a interacção e a integração social (Cassirer, 1995: 33). A cultura forma e define uma realidade e permite que as pessoas expressem os seus sentimentos e ideias. Na subjectividade (da vivência religiosa) reside a possibilidade de intersubjectividade (dos valores morais e crenças religiosas) proporcionada pela mediação de estruturas de significação social (como a cultura e a linguagem). As diversas formas de linguagem, simbolismo ou estruturas de significação e de cultura demonstram que, por um lado, existe uma heteronomia de possibilidades para a intersubjectividade, por outro lado, que a vida quotidiana é necessariamente social.

Tomando a concepção de “religião” proposta por Durkheim (2002: 50) como factor de unidade social, as afinidades entre a religião e a cultura prendem-se com formas de satisfação das necessidades humanas. Para Bronislaw Malinowski (1997: 37), “a cultura consiste no conjunto integral dos instrumentos e bens de consumo, nos códigos constitucionais dos vários grupos da sociedade, nas ideias e artes, nas crenças e costumes humanos”. Esta definição clássica significa que a cultura é um vasto dispositivo material e espiritual de produção de artefactos extraídos do meio ambiente em que o homem vive e que lhe possibilita fazer face aos problemas e necessidades que se lhe deparam. O meio ambiente natural é transformado, pela produção de cultura, num meio ambiente secundário e organizado, onde o relacionamento e o comportamento se realizam através da concórdia,

cooperação e respeito. Paralelamente, é este também o campo de intervenção da religião e da ética que transformam o meio de modo mais habitável e comportável para a intersubjectividade.

A religião e a cultura funcionam como um mesmo sistema de representação. Os símbolos religiosos implicam sentimentos. Segundo Geertz (2000: 119), a força do símbolo “radica claramente na sua capacidade de abarcar muitas coisas e na sua eficácia para ordenar a experiência”. Por ordenar a experiência, designadamente a experiência religiosa, o símbolo medeia todos os campos da vida quotidiana e justifica a “concepção de homem como animal capaz de simbolizar, conceptualizar, procurar significações” (Geertz, 2000: 129), bem como justifica a alteridade essencial da religião; a forma, conteúdo e sentido da experiência religiosa; e as relações intersubjectivas entre a religião e os valores. A religião é, para Geertz (2000: 129) uma actividade simbólica que visa orientar um organismo que não pode viver num mundo incompreendido.

A linguagem constitui, deste modo, o fundamento lógico do ser humano como ser eminentemente social, cultural, ético, moral, político e religioso. Segundo Hans-Georg Gadamer (1996: 467) “ter um mundo significa referir-se ao mundo”, no sentido em que só se pode referir-se ao mundo se pensarmos, sentirmos e agirmos nesse mundo, sendo que a posse de um mundo é a posse de uma linguagem. A relação com o mundo caracteriza-se pela liberdade face ao ambiente e “uma tal liberdade implica a constituição linguística do mundo” (Gadamer, 1996: 468). Se não é possível, como também admitiu Roland Barthes (1979: 9) falar da linguagem sem, de certo modo, reconhecer que se está dentro dela, então as próprias experiências simbólicas, como as religiosas, pertencem a uma lexologia, seguindo o verdadeiro sentido etimológico grego de *lexis*, i.e. “enunciação”. A associação entre as experiências religiosas e a lexologia justifica-se, porque o campo desta é o da fala intersubjectiva ou “fala social”, aquela na qual o falante “é um sujeito dialecticamente livre e coagido” porque não preexiste à linguagem e se constitui como sujeito à medida que fala; e porque só pode fazer-se reconhecer em determinado lugar como parte de um sistema já constituído (Barthes, 1979: 9-10).

O conceito de “sociedade” remete para a ideia de concepção de um mundo simbolicamente estruturado de formas de vida e de intersubjectividades sociais que são, por seu turno, reguladas através de mecanismos de poder e de disposições da interacção das formas simbólicas, como a linguagem, a cultura, a religião, etc. Considerando a religião constitutiva do ser humano ou, pelo menos, inerente ao ser e estar num mundo complexo e em constante transformação (i.e. a religião como produto cultural do ser humano e em função dos seus interesses, desejos e necessidades) afigura-se importante descortinar a função da religião como forma de linguagem e de pensamento simbólico ou sistema de significação e comunicação de uma dada sociedade ou cultura.

Para Martin Buber (2012: 95), o conceito de “experiência” significa um meio de aquisição de algo quando se viaja, “quando se atravessa o mundo” ou “quando se passa por coisas”. Esta concepção pressupõe que a experiência que se tem ou se adquire não pertence necessariamente ao mundo exterior mas, pelo contrário, consiste num processo interior, como acrescentou Buber (2012: 95-96). Como a vida humana não se restringe a impressões ou a ter processos interiores, i.e. a passar por experiências, o ser humano também tem expressões, processos de inter-relação e interacção, designadamente da experiência religiosa e através das formas simbólicas.

A experiência religiosa é um processo de incorporação de modos de ser, estar, falar, compreender, agir, reagir e interagir com sentido. Pela aquisição de esquemas operatórios e estruturas de significação criados e transmitidos por uma dada cultura, a experiência fornece também competências para a actividade simbolizante. A linguagem medeia a compreensão e a interpretação dos outros e da realidade. A mediação da experiência religiosa pelas formas simbólicas ou veículos de significação, desperta a atenção para a língua como lugar onde a experiência do homem se diz (Ricoeur, 1995: 12). O ser humano é um ser mediado pelos signos e apenas alcança a compreensão de si e dos outros através da compreensão dos signos. O símbolo associa o mito e o rito, reporta-se ao sagrado e caracteriza uma forma de ver o mundo do homo religiosus (Ricoeur, 1995: 108).

É, por conseguinte, através da intersubjectividade das formas simbólicas que a experiência religiosa se sustenta, se reproduz e se funda na lógica da sociabilidade. Não fazem sentido experiências sem mediação, pois não fazem sentido sem o outro, i.e. sem relações intersubjectivas. Assim acontece com a experiência religiosa que é, no domínio simbólico, ambigualmente subjectiva e intersubjectiva: subjectiva, porque se traduz numa exclusiva e singular relação dialógica entre um

crente e Deus, assumindo a forma tradicional da oração que pode ser em silêncio; intersubjectiva, porque corresponde a um procedimento habitual, um modo de expressão cultural de atitudes e sentimentos religiosos para determinados credos ou entidades.

A religião faz parte da natureza humana; é um dos domínios mais característicos do ser social e cultural. Por isso, configura-se numa questão relevante cientificamente, interessando várias áreas de estudo. A religião é um produto da cultura e a experiência religiosa é uma forma de expressão e exercício de uma outra determinada forma de cultura. É como se a religião e a cultura fossem duas faces da mesma moeda. Faces manifestadas nestas duas formas de união das pessoas em torno de algo que elas valorizam. É neste sentido que Buber (2012: 52) fala de “religião como presença” e a fundamenta em termos culturais e sociais, i.e. numa relação do indivíduo religioso com o outro face a Deus, pois uma presença convida sempre a uma relação. O fundamento da religião é esta consistir em relação dialógica num tempo presente de um Eu com um Tu por via de Deus ou da religião em abstracto.

A questão da religião como presença implica a dimensão cultural da religião e a dimensão natural da religião, por mais contraditórias que se afigurem estas duas dimensões face à própria religião. À dimensão cultural, poder-se-ia associar a perspectiva da religião como qualquer coisa de relativo na vida humana, enquanto à dimensão natural se associaria uma perspectiva da religião como algo absoluto ou absoluta presença na natureza humana. Uma pessoa religiosa cria necessariamente imagens idealizadas do mundo. Conforme afirmou Martin Buber (2012: 64), “para o homem religioso, toda a vida possui necessariamente sentido”. Sendo ideal, esse sentido é desejavelmente transmitido pela multiplicidade de formas simbólicas com o outro e com Deus, fundando uma heteronomia da intersubjectividade.

A religião como presença pressupõe, conforme adiantou Martin Buber, a “construção de um mundo do Tu”, i.e. a “construção de um mundo a partir da relação com o Tu” (Buber, 2012: 131). Todas as formas de expressão ou manifestação de credo religioso são simbólicas, porque subordinam-se ao símbolo enquanto via de transmissão de significados sobre o mundo. O ser humano insere-se num quadro referencial de valores e significados prescritos por uma dimensão existencial premente, pois “somos criaturas que buscam significados” (Armstrong, 2006: 8). Buscamos significados para perceber o que nos constitui como seres humanos gregários e para entender o mundo que nos rodeia, de modo a compensar lacunas e limitações de conhecimento e entendimento sobre o que mais nos diz respeito. Esta é uma evidente utilidade de qualquer religião.

O reconhecimento do papel da religião depende de uma perspectiva sobre a religião como narrativa simbólica quer sobre o passado (baseado em como as coisas aconteceram) quer para o futuro (inspirador do modo como as coisas devem acontecer). A utilidade deste reconhecimento implicaria a aceitação da liberdade de expressão religiosa como reflexão e consciência baseada no problema do valor da história da humanidade e no problema da consciência histórica.

O permanente e complexo processo de simbolização ou pansemiotização do mundo é a faculdade que gera a religião e serve para ampliar o escopo do ser humano, pois permite viver com mais sentido num mundo codificado e com desígnios. Não existem religiões sem significados. Estes significados são, por norma, complexos e encontram-se enraizados na história, cultura e tradição de uma dada sociedade. São significados complexos, porque assumem-se como explicação metafórica de situações remotas e importantes para uma dada cultura. De acordo com Jostein Gaarder (2007: 21), “o mito religioso possui, assim, um significado mais profundo que a lenda ou que o conto popular”. O mito procura explicar sempre qualquer coisa e, por isso, constitui uma resposta metafórica às questões fundamentais da humanidade.

Concebida como uma variante da cultura, a religião possui e expressa determinados padrões culturais e valores ético-morais, crenças e normas. Ao desejo frequente e muito humano de ser uma pessoa melhor (i.e. mais virtuosa) propõem as religiões um determinado estilo de vida, i.e. uma determinada forma religiosa de vida, na medida em que as religiões são culturalmente transmitidas através da linguagem e do simbolismo e não, conforme sublinhou Daniel Dennett (2008: 36) através dos genes. Exemplo deste contributo da religião e da ética para uma determinada e melhor forma de vida é a sugestão da designada “Regra de Ouro”, enquanto princípio de intersubjectividade ou reciprocidade. Esta sugestão implica o outro, i.e. não se pode pensar nem aplicar a “Regra de Ouro” sem liberdade e atenção pela alteridade, percepção e respeito pelo outro.

### **2.3. Religião natural e religião cultural:**

Entre a natureza e a cultura existe uma clara distinção. Estes dois conceitos relacionam-se como um binómio, que pode ser traduzido da seguinte forma: a natureza constitui tudo o que cresce e se desenvolve sem a intervenção humana ou sem a vontade do ser humano, enquanto a cultura corresponde a tudo o que é construído ou desenvolvido com a intenção (não com o acaso ou determinismo da natureza) de satisfazer necessidades humanas. O apuramento conceptual destes dois conceitos é importante para compreender o sentido da questão relativa às concepções de “religião natural” e “religião cultural”. A questão suscitada pela confrontação entre “religião natural” e “religião cultural” está comprometida com a ideia de que ninguém seguirá uma crença ou terá certos comportamentos de modo puramente livre, i.e. sem acreditar nos valores subjacentes às ditas crenças ou comportamentos.

Enquanto a ideia de “religião natural” subjaz à concepção de uma dimensão humana assente na predisposição para a religião, a ideia de “religião cultural” subjaz à concepção de uma dimensão humana assente na cultura (no sentido de produção) da religião, i.e. subjaz à tese da religião como variante cultural. Apesar de partilhada por vários autores, como Marcel Gauchet na sua emblemática obra *The Disenchantment of the World: A Political History of Religion* (1997: passim) a ideia de que a religião terá existido sempre (em todos os tempos e lugares) é discutível e não é seguida por outros autores, como Daniel Dennett (2008: 91), que a refuta no seu livro *Quebrar o Feitiço – A Religião como Fenómeno Natural*.

Segundo Dennett (2008: 91) “existiu um tempo antes das crenças e práticas religiosas terem ocorrido a alguém”, tal como também existiu um tempo “antes de existirem quaisquer crentes no planeta, antes de existirem quaisquer crenças sobre fosse o que fosse”. Dennett explorou a possibilidade de a religião ser governada por forças naturais da evolução e da selecção natural. Além desta polémica questão, a discussão crítica recai na atribuição de responsabilidade à religião ao desempenhar um papel benéfico na vida humana e, ao mesmo tempo, ao representar um perigo ou ameaça de conflito entre povos.

A perenidade da religião na vida humana é igualmente considerada por Mircea Eliade, ao reconhecer o regresso do religioso e a defender que esse regresso se deve à inquietação e insatisfação humana na procura de sentido ou de benesses para a vida. Conforme referiu Eliade (1999: 211) em *O Sagrado e o Profano*, o ser humano puramente a-religioso (ou unicamente racional) é um fenómeno muito raro, mesmo na mais dessacralizada das sociedades modernas, porque descende do homo religiosus e dispõe, até inconscientemente, de uma mitologia camuflada e de numerosos ritualismos.

Também segundo Malinowski (1988: 19) “não existem povos, por mais primitivos que sejam, sem religião nem magia”. Esta mesma ideia foi sustentada por Jostein Gaarder (2007: 13), ao defender que “não há registo de nenhuma raça ou tribo que não tenha tido uma religião de qualquer espécie”. Esta ideia é ainda mais tradicional pelos argumentos dos autores latinos clássicos, como Santo Agostinho ou Tertuliano, no desenvolvimento da tese da crença natural do homem em Deus e nas verdades fundamentais do cristianismo. Neste sentido, Tertuliano (apud Otero, 2003: 91) recorreu à ideia de que a religião estava já presente no homem primitivo e inculto, porque a alma é cristã por natureza.

Segundo Anselmo Borges (2010: 20) “não é ousado afirmar que todo o ser humano é religioso”. Todos temos uma consciência construtora de mitos e somos constituídos simultaneamente pelas actividades racionais conscientes e pelas experiências irracionais ou emotivas. Os mitos, resultantes de ambiguidades e de leituras interpretativas da realidade, surgem para suportarem a fé que se nutre por algo ou alguém mitificado.

Independentemente desta controvérsia, a religião é vivida colectivamente e manifestada socialmente através de crenças e práticas multiformes, consoante os locais e as épocas, as culturas e as sociedades mais ou menos primitivas ou complexas. As crenças e práticas religiosas, apesar de multiformes, seguem três propósitos preferidos, segundo Dennett: a) reconfortar no sofrimento e aplacar os anseios, temores, medos e angústias inerentes à condição humana; b) explicar coisas que não se consegue nem compreender nem explicar de outra forma; c) encorajar a cooperação entre as pessoas face às dificuldades e problemas peculiares da vida.

Os fenómenos religiosos possuem vivências características e são experimentados consoante a cultura em que se inserem. A cultura e a religião são, por um lado, aspectos de uma mesma unidade,

i.e. estão inter-relacionadas, mas, por outro lado, são duas coisas diferentes. Segundo T. S. Eliot (2002: 16) “nunca houve uma cultura que se desenvolvesse sem uma religião a acompanhá-la”, pelo que a cultura aparece sempre como um produto da religião ou a religião como um produto da cultura. A cultura é visível nos modos de manifestação colectiva da fé. As formas de vida ou modos culturais e simbólicos de viver em sociedade nunca podem ser atingidas deliberadamente, porque são constituídos por produtos de uma variedade de actividades mais ou menos harmoniosas (Eliot, 2002: 20).

Regressando à indagação de Dennett acerca da “religião natural”, i.e. o produto de um instinto evolucionário cego, e da “religião cultural”, i.e. o produto de uma escolha racional, a religião é vivida, quer numa situação quer na outra, sempre como a procura de uma melhor ou mais ideal forma de vida moral, i.e. pela prática do bem nas relações interpessoais. É neste preciso aspecto que se introduz com pertinência a ideia de uma ética universal como acção social universal, i.e. um modo reflexivo (racionalizado) de procurar uma sempre melhor ou mais ideal forma de vida intersubjectiva, tendo por base a experiência religiosa e as respectivas crenças e práticas.

O desejo de se ser uma pessoa mais virtuosa, de se sentir melhor inserido num certo contexto social e cultural, representa, porventura, um dos principais benefícios da prática religiosa, justificando o facto de a religião se impor na vida humana com uma certa naturalidade. Independentemente das concepções sobre a religião, esta constitui uma dimensão igualmente natural na vida das pessoas. Segundo Dennett (2008: 36) as religiões são transmitidas e adquiridas consoante uma dada herança cultural e educativa.

Independentemente da perspectiva (natural ou cultural), a religião corresponde, por um lado, a uma natureza humana crédula, auto-reguladora e intersubjectiva, por outro lado, a uma cultura profusamente simbólica, criativa e adaptativa, ambas em permanente e necessária transformação pela esperança de salvação. É a partir da consciência sobre a sua própria condição que o ser humano encontra formas de transcendência dos seus limites e articula um sistema simbólico, criado por si, ao sentimento de esperança e à percepção de sentido de vida num desígnio último: a salvação. Neste sentido se compreende que a concepção cultural (social) e natural (biológica) do ser humano sobre a religião é sustentada por Anselmo Borges, em *Religião e Diálogo Inter-religioso*: “frágil segundo a natureza e sem especialização [o homem] tem de criar uma espécie de segunda natureza ou habitat, precisamente a cultura” (Borges, 2010: 9).

Numa obra recente, paradoxal e provocante, intitulada *Religião para Ateus*, Alain de Botton reconheceu duas vantagens do que designou “a invenção das religiões” servir outras duas necessidades humanas fundamentais: “primeira, a necessidade de vivermos harmoniosamente juntos em comunidades, apesar dos nossos impulsos egoístas e violentos profundamente enraizados; e, segunda, a necessidade de lidarmos com os aterradores níveis de dor originados na nossa vulnerabilidade ao fracasso profissional, a relações complicadas, à morte de entes queridos e à nossa decadência e morte” (Botton, 2012: 14). Estas necessidades continuam a existir até hoje, numa porventura modernidade (pós-)secular.

A concepção cultural (social) e natural (biológica) do ser humano sobre a religião influencia a formação e manutenção de uma certa identidade. Em sociedades abertas e complexas, cada vez mais multiculturais e politeístas, a identidade será mais heterogénea e planetária, mas sensível ou um pouco intolerante face à heteronomia. A construção da identidade consistirá, neste caso, num processo ideológico de representação social dos valores de liberdade ou tolerância religiosa. Em sociedades mais fechadas, simples e tradicionais (nomeadamente monoteístas), a matéria-prima do fenómeno religioso é o elemento sagrado ou santificado e este elemento constitui um factor determinante para a definição de crenças e práticas religiosas, contribuindo também para a criação e definição da identidade (Neves, 2006: 7).

No seu conjunto e nas suas múltiplas dimensões, o fenómeno religioso integra uma panóplia de relações intersubjectivas (do indivíduo consigo mesmo, com os outros e com o sagrado); representações simbólicas; práticas sociais e culturais; instituições (a Igreja institucional), etc., que regulam os cultos e rituais religiosos.

### **3. Eticidade da experiência religiosa:**

A tomada de consciência de si (autoconsciência), sobre (a relação com) os outros (consciência social) e sobre o divino ou o sagrado (consciência transcendental) é um traço característico da natureza humana. Considerar assim a consciência atribuir um papel funcional à religião e acreditar na condução da vida até um determinado ideal final, que pode ser designado por salvação, libertação, justiça absoluta, juízo final, etc. Conforme sintetizou Anselmo Borges (2010: 26) “os homens dedicam-se às religiões precisamente porque acreditam que elas realizam esta função: ‘dar o máximo sentido possível à vida humana’”.

Segundo Iris Murdoch (2003: 256) o conceito de consciência e o conceito de valor devem estar internamente associados, porque estar consciente é ser um portador ou facultador de valores. O conceito de consciência é animado ao indicar uma dimensão moral, em que o nosso discurso é moral e usa constantemente inúmeras e subtis palavras normativas (Murdoch, 2003: 260). Quando possui uma consciência de si, o ser humano, independentemente da idade, apreende que a sua vida não é eterna. Aprende-o sem precisar de viver até ao resto da sua vida nem de esperar muito tempo. Por não ser eterna, a vida adquire sentido quando as pessoas têm de fazer opções ao longo da vida. Estas opções são acompanhadas de uma necessidade fundamental de orientação na vida. Então, formulam-se perguntas, tais como: Quem sou eu? Como surgiu aqui? Quem criou o mundo e quais as forças que o regem? O que acontece quando morreremos?

Apesar de possuírem um carácter geral, estas perguntas são colocadas em todas as culturas e sociedades, constituindo o substrato de todas as religiões, porque incidem sobre a qualidade do relacionamento dos seres humanos entre si. Possuem, por conseguinte, uma dimensão ética.

Dada a consciência, a acção humana não é um processo mecânico ou automático; é o produto da vontade e da capacidade de julgar o valor da acção. Qualquer julgamento baseia-se necessariamente em critérios. Neste caso, os critérios são os próprios valores que oscilam numa escala entre dois polos principais: o bem e o mal. O que torna os seres humanos agentes morais e seres religiosos é, nomeadamente, a dotação de consciência e o reconhecimento da divindade, i.e. a capacidade maniqueísta de discernir o que é considerado bom do que é tido como mau, o justo do injusto, o correto do errado, etc., por um lado, e a voluntariedade em aceitar uma instância superior que prescreve e proscree de um modo igualmente maniqueísta.

A consciência permite avaliar o que se pensa, diz e faz, atribuindo sentido ao pensamento, linguagem e acção, tomando como referência determinados valores. Deste modo se produz uma consciência moral que nos torna agentes morais.

#### **3.1. Ética universal:**

A ética é, em sentido amplo, um campo reflexivo para a melhor ou ideal direcção da conduta, tendo por base um conjunto de permissões e interdições com valor para a vida. O objecto da ética é a liberdade, que está na origem de tudo o que escolhemos pensar, dizer ou fazer.

A ética é a avaliação crítica de preceitos e leis que, segundo um dado sistema de valores, regem o pensamento, a linguagem e a acção. É neste sentido que a ética é vinculativa. Por se preocupar com a causa e a consequência da acção humana, é comum considera-la a “arte de viver”.

Ao incidir na ponderação sobre a melhor decisão, a ética rege-se pelos princípios de racionalidade, universalidade e imparcialidade ou autonomia, na medida em só mediante estes princípios se garante a escolha ou tomada de decisão mais benéfica. Subjacente aos mencionados princípios, a ética apresenta-se como possibilidade mais imediata e simples para a lisura e obtenção dos desideratos da vida quotidiana. Assim, apresenta-se como requisito para a pré-ocupação natural da disposição humana em respeitar o outro face à necessidade sentida de criação colectiva de valores sociais, princípios morais e padrões culturais. A eticidade é a relação do sujeito, no campo da ética, com uma espécie de “moralidade objectiva”,<sup>3</sup> i.e. elementos e conteúdos mais objectivos da experiência ética, como os valores, deveres, normas, responsabilização ou realização do “bem” em determinados contextos sociais, históricos ou institucionais.

O famigerado dilema de Êtífron, apresentado por Platão (2007: 44-45) é demonstrativo das aporias éticas aplicadas, no caso, à religião, ao questionar se a acção deve ou não ser orientada por mandamentos divinos. Existem duas possibilidades: 1) um comportamento é correto porque os deuses o ordenam; 2) os deuses o ordenam porque é correto.

Ad primum, reduz-se a distinção entre bem e mal, porque tudo o que os deuses ordenam é correto. Aceitar que existe uma distinção é não aceitar tudo o que os deuses ordenam. As ordens divinas são arbitrárias e os mandamentos poderiam ser outros.

Ad secundum, coloca-se em causa a bondade dos deuses, pois o que é bom 3 Por contraposição a uma “moralidade subjectiva”, enquanto vontade subjectiva que preside ao bem ou à ideia de “bem”, exigindo-se autodeterminismo da própria vontade, ao contrário da “moralidade objectiva” ou eticidade que não depende apenas e exclusivamente do sujeito. seguir existe prévia e independente dos mandamentos dos deuses. Esta situação provoca um dilema da concepção teológica entre o bem e o mal moral: ou encaramos os mandamentos de Deus como arbitrários e abandonamos a doutrina da bondade de Deus ou admitimos que há um padrão de bem e de mal moral independente da vontade de Deus e abandonamos a concepção teológica de bem e de mal moral.

O dilema de Êtífron é comparável à questão de Abraão que, pela sua fé desmedida, segue o mandamento divino e quase tira a vida ao seu filho Isaac. Esta atitude traz implicações para a prioridade de Deus sobre a ética humana, na medida em que Abraão está preparado para suspender a ética do “Não matarás” (valor ético de bondade) face à ordem de Deus para matar Isaac (ordem que consistirá, para Abraão, a bondade compreendida como a vontade de Deus). Em *Temor e Tremor*, Kierkegaard discutiu este caso, considerando que o mesmo revela que Abraão é um grande homem de fé e que a situação se traduz numa suspensão teológica do ético. Efectivamente, tratase de um caso complexo, pois a vontade de Deus é considerada mais importante do que a preservação da vida humana.

Este mesmo caso é moralmente interpretado de modo diferente por Kant, em *A Religião Dentro dos Limites da Simples Razão*. Consistindo a prática religiosa no exercício do dever moral, Kant reclamou a prioridade do papel da moralidade nas acções de Abraão (ou até sobre as crenças religiosas). Para Kant, a ideia de uma suspensão religiosa da ética é inaceitável, pois, enquanto a norma que estipula não matar é certamente considerada verdadeira, a sensação ou percepção de que Deus ordenou que Abraão matasse Isaac é incerta (Clack & Clack, 2010: 176). Na perspectiva moral de Kant, segundo Miguel de Unamuno (2007: 59) “a religião depende da moral, e não esta daquela, como no catolicismo”, estando o pensamento kantiano muito mais próximo do protestantismo, por este ser essencialmente ético.

À perspectiva de Kant contrapõe-se a ideia de Santo Agostinho da *fides procedit rationem*,<sup>4</sup> que garante conforto, segurança, certeza e sinais, i.e. motivos de 4 Do latim, “a fé precede a razão”. credibilidade para compreender. Todavia, ambas, a racionalista de Kant e a religiosa de Santo Agostinho seriam impossíveis numa forma pura, segundo Miguel de Unamuno, i.e. “uma tradição puramente racionalista é tão impossível como uma tradição puramente religiosa” (Unamuno, 2007: 91).

Abraão poderia matar Isaac, mas já não poderia, certamente, deixar de se aperceber que a sua acção seria moralmente condenável. Será que Abraão ficaria de consciência tranquila mesmo se encontrasse justificações para o seu acto, se alegasse liberdade de indiferença ou se soubesse que a sua acção não seria conhecida? Matar Isaac seria moralmente inaceitável, pois o valor da vida (do próprio Abraão e de Isaac) é intemporal e é também um imperativo de consciência de Abraão como agente moral, possuindo um carácter obrigatório, na medida em que se constitui como um princípio que transcende qualquer circunstância.

Poder-se-ia concluir este caso de Abraão afirmando que a religião atribui expressão aos medos e desejos essenciais do ser humano, pois a preocupação com o pecado é exacerbada ao ponto de se tornar angustiada entre os católicos, conforme admitiu Miguel de Unamuno (2007: 59). Por isso, “foi preciso fazer da religião, para benefício da ordem social, uma polícia” (Unamuno, 2007: 61), i.e. a concepção e difusão da ideia de inferno. Segundo Unamuno (2007: 108): “O homem aspira a ser amado, ou, o que significa o mesmo, aspira a ser compreendido. O homem procura quem lhe sinta e compartilhe as penas e as dores.”.

As religiões não separam o campo da ética do campo próprio da religião. Os costumes sociais, as regras de convivência ou os preceitos morais fazem parte do campo religioso, tal como outros aspectos eminentemente religiosos, como as crenças e as práticas rituais que sustentam o culto devocional (e.g. a oração ou o sacrifício). Nos dez mandamentos que Moisés entregou aos judeus,

tanto figuram os que dizem respeito ao próprio campo da religião (e.g. “Não terás outro deus para colocar contra mim”) como os que possuem implicações éticas (e.g. “Não matarás”).<sup>5</sup>

Assim pressuposta, a ética beneficia as escolhas, as tomadas de decisão, as “boas” acções ou as condutas quotidianas e intersubjectivas, porque visa sempre o mais conveniente, i.e. o mais respeitador dos interesses pessoais e colectivos. Paralelamente, a religião também assume este papel útil e funcional, ao orientar o que as pessoas pensam, dizem ou fazem com repercussão nas outras. Os códigos morais constituem uma parte essencial das religiões. Todavia, ao contrário da ética, os códigos morais religiosos não resultam do puro uso da razão e a sua fonte é a respectiva revelação. É o caso das chamadas religiões do livro, que registam o que fazer para alcançar a “salvação”.

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5 O mesmo acontece no Islamismo, em que a oração a Deus contempla a dádiva de esmolas aos pobres enquanto preocupação ética e não essencialmente religiosa.

Constituindo a liberdade a questão fundamental e o próprio objecto da ética, a religião também propõe critérios para o usufruto dessa liberdade. Não é possível ser livre no lugar de outra pessoa nem se dispensar de fazer escolhas na vida, i.e. é impossível não agir. A liberdade determina tudo o que somos, pensamos, dizemos ou fazemos. As virtudes e os vícios advêm da mesma fonte, a liberdade. Depois da sua aplicação, a liberdade suscita inexoravelmente sentimentos de orgulho justificado ou de remorso. Atentas a esta circunstância, a religião e a ética apresentam possibilidades para a liberdade humana, i.e. maneiras de pautar a vida quotidiana. A predisposição ou prerrogativa humana para a liberdade torna esta última, por conseguinte, uma questão importante quer para a ética quer para a religião.

O ser humano é um ser moral porque a sua acção, para ser moral, deve estar conforme critérios, valores, regras e prescrições. Só assim a moral caracteriza a acção do homem (Renaud & Renaud, 1999: 956). Neste sentido religioso e ético sobre a acção e a liberdade, estas são limitadas dentro de um quadro de possibilidades. Quando o ser humano se torna consciente das suas limitações, tem a oportunidade de demonstrar dignidade, na medida em que esta dignidade não reside no que é adquirido pela sua natureza, mas no que se pode alcançar através da liberdade e da acção. As escolhas que se fazem, em função dos valores que se considera prioritários, moldam o modo de ser. A este propósito falou Paul Ricoeur (1988: 391) de “liberdade do ato de fé”, i.e. liberdade de crença ou poder geral de escolher e produzir uma opinião, uma convicção subjectiva.

A liberdade tem limites e um destes reside numa outra liberdade, a liberdade religiosa de professar uma crença determinada ou expressar publicamente a fé na forma da opinião aludida por Ricoeur. Pressupõe-se a grandeza moral e cultural de reconhecer o outro como sujeito de vontade livre no seio de uma mesma comunidade organizada de direito público. Esta forma de liberdade confina-se no conteúdo da crença religiosa que a alimenta e que, paradoxalmente, assenta na esperança. Paradoxalmente, porque a esperança aprisiona a fé de quem tem esperança, em vez de libertar totalmente o crente. A liberdade da esperança é o sentido de uma existência humana dependente da ressurreição ou de uma resposta do futuro. Para Kierkegaard (apud Ricoeur, 1988: 427), a liberdade segundo a esperança é a paixão pelo possível.

### **3.2. Da ética da subjectividade à ética da intersubjectividade:**

Em 1793, Kant publicou *A Religião Dentro dos Limites da Simples Razão*, tendo continuado a sua abordagem sobre a natureza humana de uma forma crítica, ao ponto de reconhecer o que denomina como “fraqueza” da natureza humana, i.e. a dificuldade em fazer o que se sabe que se deve fazer, associando esta “fraqueza” a uma dada “impureza” ou tendência para confundir ou adulterar as razões morais a partir de outras motivações. Uma questão subsequente é: O mal resulta da própria opção do ser humano, do seu uso errado da liberdade de que é dotado, ou existe uma espécie de pecado original em que o mal é radical ou inato ao ser humano, uma característica universal e inevitável da condição de um ser racional, mas com necessidades?

Segundo Kant, as pessoas têm uma propensão natural para o mal que é, ela mesma, moralmente má, porque deriva de um livre poder de escolha imputável (Kant, 2008: 43). Kant sustentou a existência de um mal radical, inflexível face a todas as máximas. A natureza humana

apenas se desenvolve quando o ser humano se encontra inserido na sociedade e em relação com os outros. No entanto, restam dúvidas quanto a uma condição humana pré-social.

Para Kant, os problemas da natureza humana estão associados ao mal que existe nos seres humanos e esse mal não pode ser “exterminado” por meio de forças humanas. A via possível é a religiosa (a salvação divina), como forma convencional de piedade face à crença. No Capítulo III da *Dialéctica Transcendental da Crítica da Razão Pura*, Kant (2001: 485) debruçou-se sobre o ideal e abordou a inspiração proveniente de ideais de perfeição divina que transcendem todas as experiências. A aproximação entre o pensamento kantiano e o pensamento iluminista não inibiu Kant na revelação de uma perspectiva negativa sobre a natureza humana, devido à tendência do ser humano para o mal.

Assim, dada a predisposição radical para o mal na natureza humana, ninguém poderá cumprir o seu dever. As pessoas vivem sob o estigma do designado pecado original e “apenas a graça divina pode remediar esta situação” (Ward, 2007: 115).

Ricoeur, num campo que ele próprio preferiu designar por “ontologia da acção”, considerou a importância do ser humano para a instauração, em si, dos preceitos religiosos. A “ontologia da acção” centra-se na preocupação em pensar o ser em termos de ato, de acção, de agir, procurando a resposta à pergunta “O que é o agir humano?”. Segundo Ricoeur, “a instauração de um si pela mediação das Escrituras e a aplicação a si próprio das múltiplas figuras da nomeação de Deus advém ao nível da nossa capacidade mais fundamental de agir. É o homo capax, o homem capaz, que é interpelado e restaurado.” (Ricoeur, 2010: 9). De acordo com Ricoeur, a intuição central de Kant seria a tarefa da religião: restaurar no sujeito moral a sua capacidade de agir segundo o dever. Esta capacidade moral seria universal e coincidiria com o principal objectivo da religião.

Este “si-próprio capaz” de Ricoeur é o sujeito kantiano capaz de autonomia. De acordo com Jürgen Habermas, Kant não reduz a filosofia da religião em crítica da religião. A filosofia da religião possui o significado construtivo adicional de dirigir a razão às fontes religiosas de onde a própria filosofia pode, por sua vez, adquirir impulsos (Habermas, 2009: 215).

Para Kant, o conceito de uma “comunidade ética” implica uma comunidade religiosa pautada por leis éticas (Kant, 2008: 104). A ideia kantiana de uma igreja universal e invisível, associada ao conceito de “comunidade ética”, inscreve-se em todas as comunidades religiosas (Habermas, 2009: 225). Segundo Habermas (2009: 227), Kant encara a religião como a fonte da moralidade que satisfaz os padrões da razão, mas também como um refúgio obscuro a ser purificado do obscurantismo e fanatismo pela filosofia. Todavia, a intenção construtivista da filosofia da religião de Kant, conforme mencionou Habermas, poderá ser circunscrita à sua obra *A Religião Dentro dos Limites da Simples Razão*, na qual se considera a atitude religiosa humana para o desenvolvimento do ser humano e a religião como uma esfera cultural peculiar e com temas específicos (Granja Castro, 1994: 185-6).

A obra de Kant (designadamente sobre antropologia, ética e religião) justifica-se, lato sensu, pelo seu enquadramento iluminista, i.e. caracterizado por um abrangente progresso humano em vários domínios (político, social, cultural, etc.) e facultado pela afirmação, autonomia e soberania dos valores universais da razão. Nem a religião se excluía ou resistia aos valores universais da razão. A estes valores se associavam valores morais no exercício de concepção de ideais humanos fundamentais, como o de liberdade. Este ideal de liberdade, associado e complementado pelo cumprimento e respeito pela lei, funda uma concepção ética sobre a autonomia da vontade, que é facultada pela razão pura prática.

A concepção ética de Kant cinge-se à ideia de autonomia da vontade livre, contrapondo-se à tradição grega da fundação ética pela ordem natural. Kant pretendeu demonstrar a existência de uma razão pura prática capaz, per se, de determinar a vontade sem recorrer à sensibilidade e à experiência, i.e. uma razão a priori, anterior à experiência, porque operaria por si só.

Para o efeito, Kant distinguiu um mundo sensível (das coisas naturais, dos fenómenos da experiência e da sensibilidade humana) de um mundo inteligível (da liberdade). O mundo sensível é regido e determinado pela causalidade das leis físicas e biológicas e, por isso, é um mundo sem liberdade. No mundo inteligível, a razão tem a propriedade de se determinar a agir de modo independente das causas empíricas (a crítica da razão prática). Estes dois mundos são necessários à existência e natureza humana, duplamente sujeitadas à variedade das suas inclinações naturais e à razão, vontade e liberdade, sendo o ser humano a causa da sua lei moral. São dois mundos necessários à existência e natureza humana, mas são também dois mundos conflituantes, culminando no que Kant

designou de “mal radical”: o conflito entre a lei do dever moral e a lei do prazer e da satisfação sensível; entre a lei moral universal e a lei particular do prazer dos sentidos; entre razão e sensibilidade; entre causalidade física e causalidade livre. Entre estes dois mundos, qual é o lugar de Deus?

As inclinações naturais obedecem às leis da natureza sensível e, por isso, estão fora do campo moral. “O mal radical está em converter a sensibilidade em norma da moralidade e fazer do desejo um absoluto” (Pegoraro, 2006: 103). De acordo com Kant, o campo da moralidade começa em mim, no meu livre uso da minha razão prática. Enquanto ser dual (i.e. composto de sensibilidade e de razão) possuo liberdade que se traduz na possibilidade de escolha entre seguir a sensibilidade nos meus impulsos naturais ou os apelos da racionalidade. Esta possibilidade de escolha faz de nós seres morais, porque nos submetemos à causalidade da liberdade. Assim é, porque a ética kantiana gira em torno da vontade que submete a sua liberdade à soberania da razão, conforme atesta o início apologético da boa vontade da Fundamentação da Metafísica dos Costumes (Kant, 1992: 21-2).

O cumprimento do dever moral resulta na boa vontade. Para Kant, o ideal é sempre a decisão da razão e da vontade de cumprir o dever moral exclusivamente por dever. Como a razão prática apenas tem cabimento no campo racional (porque neste campo a opção depende dos apelos da racionalidade e não das inclinações naturais), é neste campo que se introduz a ética sobre a tomada de decisões resultantes de vontades subjectivas.

O problema da ética kantiana reside na concepção de princípios imperativos de moralidade, de cariz objectivo e absoluto, aplicáveis às experiências religiosas de cariz necessariamente subjectivo e relativo. Ora, como aplicar princípios objectivos (na forma de leis morais universais) que se estendem a todos os seres humanos em domínios fenomenológicos de vivência, crença e expressão de experiências religiosas?

A resposta de Kant sustentaria que estes princípios imperativos de moralidade são necessários, mas não tanto como as leis da física e da biologia, que são determinadas pela natureza e, por conseguinte, não podem ser transgredidas. Apesar de necessários, os princípios imperativos de moralidade são morais e, por isso, podem ser desobedecidos porque a vontade, subordinada à razão, está também sujeita às inclinações da sensibilidade. As leis da física e da biologia são inevitavelmente realizáveis, enquanto as leis morais são necessárias, mas não anulam a liberdade de as transgredir. Ser livre é ser autónomo, é poder escolher ser submetido à lei moral, ao dever (i.e. ao “eu devo”). Então, a submissão à norma da moralidade é um ato de liberdade; uma vontade livre (liberdade) é uma vontade submissa à lei moral. Esta vontade livre serve de fundamento à moralidade e, por isso, não se restringe ao ser humano e à sua conduta subjectiva, mas é também partilhada com os outros e é extensível à sociedade.

A resposta de Kant à última pergunta também passaria pela alegação da materialidade da lei, própria das leis materiais, mas não das leis morais. Estas não possuem conteúdo empírico, sendo apenas forma. Por exemplo, as leis religiosas que ordenam fazer o bem, realizando determinadas acções justas, recorrem a promessas de recompensas ou de castigos. Esta é, para Kant, a materialidade da lei que ordena alcançar determinadas finalidades, como a felicidade. A lei moral de Kant só pode ser uma pura formalidade sem materialidade, na medida em que enuncia um princípio que ordena o cumprimento moral por ser, em si mesmo, moral, sem contrapartidas (recompensas, graças, milagres) para quem cumpre (Pegoraro, 2006: 106). Tem de ser um imperativo vazio de conteúdo material, porque uma forma não ordena fazer seja o que for; apenas ordena “agir de tal modo que...”.

Se a religião se define por um conjunto de prescrições e proibições, i.e. um conjunto de deveres para realizar determinadas acções e deveres para não realizar outras acções, a ética da subjectividade define que o dever é um elemento fundamental e, por conseguinte, caracterizador da própria natureza humana para um suposto bem ou mal. Mas não os deveres morais em relação às entidades sobrenaturais, como Deus. Segundo Kant, o ser humano não tem propriamente deveres morais religiosos, pois Kant afirmou que “a doutrina da religião, como doutrina dos deveres para com Deus, se situa além dos limites da filosofia moral”, pelo que o dever religioso consiste em reconhecer todos os deveres como “ordens divinas que transcendem a ordem da ética e devem ser acatadas por motivações de fé” (Pegoraro, 2006: 110).

Compreende-se que a ética de Kant seja uma ética da subjectividade, da autonomia, na medida em que nasce na razão e aplica-se com racionalidade. Distinguese da ética da heteronomia,

que é emanada de fora e é dirigida para fora do sujeito, encaminhando-o a fazer acções tidas como “boas”, i.e. justas, almejando a felicidade. À heteronomia ética baseada no cumprimento virtuoso opõe-se a autonomia ética do simples cumprimento da lei moral. A ética kantiana é, por isso, solipsista, por ter retirado a predominância da teologia sobre a ética e acentuando o papel do ser humano.

Por ser assim, autónoma, subjectiva, solipsista e monológica, em que a pessoa impõe a si mesma a norma de conduta como norma universal, a ética kantiana foi criticada por Jürgen Habermas que, em contraponto, propôs uma ética do discurso que é, necessariamente interactiva, contextual e mediatizada pela linguagem. Entre as teses de Kant e Habermas verifica-se um deslocamento: o cerne deixa de ser o que cada um quer fazer valer como sendo uma lei universal, sem ser contrariado, para o que todos podem receber com unanimidade e como norma universal (Pegoraro, 2006: 146).

Segundo Keith Ward (2007: 111), a grande contribuição de Kant para a ética “foi argumentar que existem verdades morais necessárias e universais inatas à mente humana”. Verdades não concebidas por uma qualquer autoridade exterior, como Deus. Estas verdades são determinadas pelo imperativo categórico ou aplicação sofisticada e necessária de uma espécie de “Regra de Ouro”, na medida em que prescreve a necessidade de se encontrar princípios morais universais com que todos concordem efectiva e racionalmente.

Kant defendeu que é possível desenvolver uma moralidade racional sem o recurso à religião ou à revelação, mas através de um procedimento puramente racional. Todavia, Kant advertiu para as inevitáveis contradições ou antinomias, na sua própria terminologia, quando a razão é conduzida aos seus limites. Kant desenvolveu, por conseguinte, um género de moralismo secular, segundo o qual é perfeitamente possível possuir um sentido de responsabilidade e de dever que conduz as pessoas a fazerem o que está certo sem a influência ou determinação de quaisquer crenças religiosas (Ward, 2007: 118).

Se a realidade é, em si, completamente incognoscível para o sujeito do conhecimento, segundo Kant, temos de viver, em determinadas circunstâncias, consoante ou conforme a fé nessa dada realidade, sendo esta possibilidade pura e essencialmente da natureza humana.

Associar a ética e a moral e fazê-las depender da religião pressuporia a transcendentalidade quer da manifestação ou expressão de fé quer da prática social. Essa conotação implicaria as formas de interacção e intersubjectividade, pois resultaria em imperativos morais na forma de mandamentos divinos; apelos afectivos; sobreposição da vontade; relação transcendente e mediatizada (i.e. revelada, transmitida e conservada) institucionalmente por pessoas ou comunidades autorizadas (e.g. sacerdotes ou igrejas); preocupações com a dignidade humana através de prescrições morais, etc.

A religião e a ética partilham um elemento fundamental que também se encontra presente, de modo crucial, em qualquer linguagem ou forma de representação simbólica ou sistema de significação e/ou comunicação: a interacção. Esta pressupõe o reconhecimento da alteridade como condição sine qua non para a funcionalidade das aludidas religião, ética, linguagem ou forma de representação simbólica ou sistema de significação e/ou comunicação. Todas estas só fazem sentido se consistirem em princípios sociais reguladores do pensamento, da linguagem e da acção ou comportamento.

A vida quotidiana não é rectilínea. Através da inteligência e da liberdade, adere-se ou não aos valores propostos pela fé ou pela ética, tal como se faz algo para o bem ou para o mal. A humanidade faz o ser humano procurar e possuir virtudes comuns, o que forma uma base de convivência. A fé e a ética permitem praticar e cultivar virtudes, humanizar o ser humano em comunidade, por forma a viver com justiça e felicidade quer na transcendência quer na imanência.

Colocar-se no lugar do outro, segundo a sugestão da “Regra de Ouro”, é um princípio ético que conduz ao respeito pelo outro como a nós mesmos. É, por conseguinte, um imperativo ético e um produto cultural e social. Este sentido é, efectivamente, uma demonstração da utilidade pública da religião, da ética e da moral, estando todas estas expressas e representadas por este princípio de reciprocidade, como se tratasse do que Kant designou como uma ética universal, geral e do bem comum ou “comunidade ética”.

A importância deste requisito para a acção correta e para a prática do bem (numa linha de orientação ética) é tão determinante nas relações humanas ao ponto de ser sobrelevado e se constituir máxima, regra de acção ou imperativo categórico, segundo Kant (1992: 59). Imperativo que possui

uma aplicabilidade universal, i.e. estende-se a todos os seres humanos como máxima universal de acção, resultante da autonomia da vontade. Todos estão sujeitos a um imperativo auto-imposto. Este

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6 A significar “atenção escrupulosa”, segundo o Dicionário Etimológico da Língua Portuguesa, de José Pedro Machado (cf. Machado, 1977: V, 70).

7 A significar “geral”, “universal”, em que *hè katholiké ekklésia* exprime o sentido de “a Igreja universal ou católica” (Machado, 1977: II, 99).

imperativo configure uma moral autónoma e, como tal, uma moral universal assente em critérios éticos globais. A ética de Kant formaria um *ethos* global do ser humano ou “um *ethos* comum da humanidade” (Küng, 2005: 17) e a subsequente possibilidade de um entendimento universal entre as religiões, sem se proceder a uma impossível religião unificada no mundo.

No campo da religião, este desígnio universalista dos valores, difundidos enquanto requisitos para o bem, estão na própria etimologia das palavras “religião”, do latim *religion* 6 e, mais concretamente, “católico”, do grego *katholikós*.<sup>7</sup>

À revelação e autos salvação propostas pela religião contrapõem-se razões altruístas da ética, na medida em que esta se baseia na reflexão racional e na verificação das situações como condição para estas serem consideradas justificadas. Enquanto isso, a religião baseia-se na ideia de que Deus revela sinais sobre a vida e o seu verdadeiro significado. Enfim, a relação ética/religião caracteriza-se pelo jogo binomial de valores, respectivamente imanente/transcendente, profano/sagrado, contingente/necessário, racional/irracional, dizível/indizível.

Na questão da ética, Ludwig Feuerbach parte do ser real e total do ser humano, este enquanto objecto único e universal do pensamento, reduzindo antropologicamente o ser à existência humana. Enquanto objecto de pensamento, o ser humano é considerado em relação com o outro, inserido na comunidade, na unidade do homem com o homem; não individualmente. Apenas assim é possível o ser humano descobrir o outro, com quem se relaciona. É por esta perspectiva sobre o outro que a teoria moral de Feuerbach se baseia na antropologia, numa aspiração à felicidade, para a qual se procura o bem e se evita o mal (Feuerbach, 2002: 170). Este reconhecimento afigura-se a condição *sine qua non* da moral, como se fosse um imperativo categórico, sem a qual não seria distinguível o bem e o mal, a felicidade e a infelicidade.

Esta linha de pensamento a favor da comunhão entre um Eu e um Tu justifica-se pela mais fácil procura da felicidade comum. É neste sentido que a teoria de Feuerbach é dialéctica, porque “dialéctica” significa diálogo (intersubjectividade) para o qual são necessários um Eu e um Tu. A humanidade não é uma abstracção; é intersubjectividade, diálogo, reconhecimento do outro e relação com o outro (Feuerbach, 1988: 98-99). Este é, essencialmente, o princípio basilar de qualquer religião, no sentido etimológico do termo latino *religare*.

A moral e a religião baseiam-se no amor do homem pelo homem como forma de superação das adversidades e injustiças sociais. A teoria moral de Feuerbach assume-se como doutrina ética do amor universal e, por conseguinte, é uma apologia optimista de uma moral e de uma religião que visam, precisamente, esse amor e concórdia como condição para o progresso social e moral (Feuerbach, 2002: 49-50).

A religião trabalha a revelação como a ética trabalha a acção e a liberdade. Enquanto a religião se baseia na ideia de Deus (ou da divindade) que revela indicações sobre a vida e seu verdadeiro significado, já registados em livro, a ética fomenta um sentido de responsabilidade sobre o que se faz ou diz, fazendo-se uso de uma liberdade racionalizada, pois a ética é um domínio de reflexão e, por conseguinte, baseia-se nos princípios da razão que verifica e justifica a acção e a liberdade em prol da produção de algum bem.

### 3.3. Ética da religião e religião da ética:

A comumente designada “Regra de Ouro”, o imperativo categórico kantiano ou qualquer outro princípio de reciprocidade reconhecem a alteridade e o respeito pelo outro ao se constituírem

como expressões próprias de uma dimensão universal e ética. Propor a reciprocidade implica, por um lado, o reconhecimento e respeito da alteridade e, por outro lado, a universalidade e racionalidade da ética, que imprime um carácter universal e racional às colectivas formas de pensar, sentir e agir. É neste ponto que surge a pertinência da ética e da religião como dimensões para as mais convenientes, justas e colectivas formas de pensar, sentir e agir, segundo critérios baseados no respeito e conciliação entre a liberdade da vontade individual e a vontade dos outros, i.e. critérios subjacentes à harmonia ou solução de compromisso racional entre as escolhas do que convém individualmente na procura de bem-estar e o que as outras pessoas querem para si, porque consideram mais conveniente (Savater, 2009: 32, 78).

A ética e a religião contribuem, deste modo, para a coexistência baseada no respeito mútuo, balizando as ditas formas de pensar, sentir e agir através de valores, princípios e regras. A ética e a religião (a moral religiosa, *stricto sensu*) têm em comum a incidência sobre o comportamento e a acção, com a diferença que a primeira constitui uma reflexão sobre os valores e parâmetros de avaliação das condições para actos morais.

É próprio do ser humano possuir determinados valores, uma vez que se encontra num contexto moral ou ético, i.e. num ambiente circundante de ideias respeitantes a modos de vida. Este contexto ou ambiente determinam como se vive e o que se considera aceitável ou inaceitável, admirável ou reprovável. Determinam, por conseguinte, as concepções e modos de reacção relativamente à forma positiva ou negativa como as coisas acontecem. Enfim, determinam como se vê e se encara as coisas que são devidas e como relacionar com as outras pessoas, moldando as respostas emocionais, e.g. definindo as causas para se sentir orgulho, ira ou perdão e respectivos contrários.

Este contexto ou ambiente fornece padrões, onde se situam os valores morais e pelos quais se define a identidade colectiva e a autoconsciência formada relativamente à consideração pelas outras pessoas. Neste sentido, a ética, a moral e a religião aproximam-se, porque todas definem a natureza humana, i.e. são partilhas colectivas como os mitos, por se constituírem em função do cuidado da relação com as outras pessoas. A religião fornece uma roupagem e autoridade mítica e simbólica à moral.

Esta relação entre a ética e a religião ou simples cruzamento dos respectivos campos é sublinhado por Jostein Gaarder (2007: 33), segundo o qual não existe diferenças entre ética e religião. Esta proximidade entre o domínio da ética e o da religião é característica da experiência religiosa, pois esta preocupa-se com uma concepção de ser humano enquanto criação divina que implica responsabilidade humana pelos seus actos sociais ou morais e perante o criador. Demonstra-o os sermões e homilias nas eucaristias, que são momentos propícios para se apresentarem e se reflectirem assuntos especificamente éticos com os quais as culturas e sociedades, mais ou menos tendencialmente seculares ou pós-seculares, se debatem (Gaarder, 2007: 33).

O campo da ética cruza-se ou imiscui-se com o da religião devido à questão da liberdade. É por possuir um “dom”, o do livre-arbítrio, que o ser humano possui, também, problemas igualmente éticos e religiosos. Estes problemas surgem quando o “dom do livre-arbítrio” proporciona abusos de liberdade ou actos errantes, fruto de uma incompetência ou errada distinção entre o bem e o mal.

Por conseguinte, a questão da liberdade provoca problemas éticos e religiosos, porque o ser humano possui livre-arbítrio, a competência para distinguir o bem do mal e a responsabilidade pelos seus actos. Estes problemas assumem uma gravidade superior quando o ser humano, ao abusar do “dom do livre-arbítrio” e ao possuir a capacidade de ir contra a vontade e os mandamentos divinos, fá-lo abusivamente, cometendo o que, nestes casos, se designa por pecado.

A ideia de pecado é, efectivamente, performativa, na medida em que não apenas descreve o que viola a vontade de Deus como inibe pensamentos, palavras, actos e comportamentos que encaixam no estado errante e na acção de “fazer algo errado”. O pecado, sendo um conceito eminentemente religioso, não pressupõe automaticamente a imoralidade, pois, pode-se ser uma pessoa íntegra em termos morais e éticos e, no entanto, cometer pecado. Neste sentido, o conceito de pecado dissocia o que anteriormente se considerou como o cruzamento natural dos campos da ética e da religião.

Dissociar a possibilidade simultânea em ser moral, na perspectiva humana, e ser pecador, na perspectiva divina, representa a possibilidade de se orientar a vida por valores ético-morais ou por valores religiosos, sem que uns anulem os outros por incompatibilidade. Na perspectiva divina, o

pecado é evitável, por constituir o desejo humano de auto-suficiência ou “ânsia de se desvencilhar sem Deus” (Gaarder, 2007: 161). O pecado representa, por conseguinte, o que separa os seres humanos de Deus, o profano do sagrado.

O papel da ética é o de permitir reflectir sobre os valores éticos, morais e religiosos peculiares à condição humana. Esta reflexão tem utilidade, porque evita problemas decorrentes da falta de sentido sobre a culpa ou o pecado. Mesmo quando se trata do pecado original, com o qual todo o ser humano nasce, pois a sua reflexão permite interiorizar uma condição humana humilde e promove a autoconsciência para fazer algo de sentido positivo, afastando-se deste desejo inato de ir contra os desígnios de Deus. A ética já seria útil se permitisse reconhecer (mas não desculpar) que a tendência inata do ser humano para pecar advém do próprio pecado original, suscitando vontade nos crentes em contrariar este determinismo.

No famigerado Sermão da Montanha (Mateus, 5: 38-42) encontram-se exigências de valores éticos absolutos e de valores religiosos absolutos. As exigências de valores éticos absolutos residem na resposta ao mal com o bem, no amor ao próximo e até no amor aos nossos inimigos; as exigências de valores religiosos absolutos reside no apelo à caridade, e.g. expressa no mandamento “Ama o teu próximo como a ti mesmo” (Mateus, 22: 39) e ao amor a Deus.

Se nos limitarmos ao campo da ética e das respectivas exigências de valores éticos, poder-se-á questionar a razoabilidade de alguém conseguir viver conforme essas exigências éticas propostas pelo Sermão da Montanha. O mandamento-chave presente neste sermão é um desígnio ético de Deus, denominado a “Regra de Ouro”. Para a sociologia da religião de Max Weber, segundo Raymond Aron (2007: 504), este sermão é uma moral da convicção que exprime uma atitude religiosa.

A importância da ética e da religião, enquanto conjunto de exigências de valores absolutos, é reconhecida pelo facto de o ser humano não se poder salvar a si mesmo, apesar de possuir livre-arbítrio, competência para distinguir o bem do mal e responsabilidade. O ser humano não se pode salvar a si mesmo porque é falível, errante e limitado, indo contra a vontade e os mandamentos divinos, i.e. cometendo pecados. Aos actos para a salvação junta-se a fé e as respectivas e necessárias obras (Tiago, 2: 26), i.e. “boas acções” na forma de dádiva divina e mais emocionais do que racionais. A salvação é a libertação do poder do pecado sobre o ser humano, o que demonstra a concepção trágica do cristianismo sobre o ser humano marcado pelo sentimento de culpa.

Neste sentido, afigura-se relevante o papel da consciência ética sobre o que se faz e sobre os valores em causa nas acções. A consciência é a capacidade de reagir ao certo e ao errado, i.e. é uma “sentinela normativa”, segundo Jostein Gaarder (2007: 283). Uma sentinela, tribunal interior ou comando inato que nos alerta (sem ditar) quando nos desviamos do que é tido como certo e que, todavia, pode e deve ser treinado diferentemente com a ética e/ou a religião. Se é inato no ser humano, é também universal, pois nascemos, supostamente, com a capacidade de viver como seres humanos responsáveis e respeitadores, apesar da heteronomia cultural e religiosa.

Mesmo assim, todas as culturas e sociedades se baseiam numa determinada ética que se manifesta quer nas leis quer nas acções do quotidiano. As acções oscilam entre a proximidade ou afastamento ao que é considerado certo ou errado que, por seu turno, também não são estanques nas culturas e sociedades. Se a base das culturas e sociedades é a ética, a base desta ética é um sentido de responsabilidade sobre a liberdade da acção, quer individual (quando nos sentimos responsáveis por nós próprios e pelo meio que nos circunda) quer colectiva (quando a sociedade se responsabiliza por aquilo que não conseguimos realizar sozinhos). Se somos capazes de identificar e escolher o bem relativamente ao mal, o certo ao errado, é porque possuímos uma orientação ética natural e responsável. E essas identificações e escolhas do bem ou do certo em detrimento do mal e do errado devem-se à liberdade da acção humana num mundo indeterminado ou, pelo menos, não determinado totalmente por Deus e pelos seus desígnios. Perante o uso dessa liberdade, assumimos a nossa responsabilidade pelo que pensamos, dizemos ou fazemos.

Todavia, o que se faz pode estar errado e o erro ser causado por uma escolha ou por uma percepção precipitada sobre a realidade. Contrariando o determinismo, as escolhas não são determinadas por quem ou por aquilo que se é, mas o ser humano se torna aquilo que escolhe pensar, dizer ou fazer.

Condicionam-se comportamentos e acções em função de certos valores sociais, morais, éticos e religiosos. A ética e a religião permitem-no. Todavia, existe uma diferença radical entre a ética e a

religião: enquanto a religião prescreve e proscreeve o que determina ser certo ou errado, a ética reflecte e orienta regras para uma conveniência ou benefício, sem se fundar no que é valioso per se ou agradável perante os outros. Conforme a ética de Kant (1992: 59), sugere-se que se pergunte, antes de agir, o que é bom ou certo e para quem.

#### 4. Conclusão:

Os valores estão sempre presentes na vida e nas culturas e sociedades. Todavia, não são universais, válidos para sempre e para todos. Um valor como a liberdade, por mais abstracto que seja ou por mais universal que se deseje, é sempre subjectivamente interpretado. Paradoxalmente, os valores são absolutos (numa dimensão transcendente ou metafísica) e relativos (numa dimensão imanente ou empírica).

Se cada ser humano possui preferências e se a coexistência numa determinada cultura ou sociedade implica intersubjectividade, exige-se uma conveniente compatibilidade de preferências (entre o que cada um deseja e o que lhe é imposto pelo colectivo). Esta intersubjectividade não pode ser arbitrária; deve cumprir normas e actuar em função de padrões de valores, i.e. actuar de modo adaptativo às circunstâncias, conforme certos critérios de regulação, inter alia: a) interiorização de padrões sociais de conduta; b) sentimento de dever; c) sentido de liberdade. Assim, cada um adquire consciência de si e de um “Eu social” face a almejada integração na sociedade. Para este efeito concorrem a religião e a ética.

Satisfazer necessidades conduz a um estado perfectivo, tendente para o bem através da ideia de que, no bem, encontra-se o “acabamento” ou “perfeição” que falta. A ideia de bem decorre da consideração de que qualquer bem, assim considerado, enriquece ou aperfeiçoa o ser humano que o alcança ou o possui. O sentido da vida humana talvez resida nesta procura incessante e necessária do bem, que a experiência religiosa e a eticidade da liberdade de acção favorecem.

Fomentar uma cuidada ideia de “bem” é um propósito racional que nos permite averiguar como viver melhor, i.e. procurar o agrado de uma “vida boa”. A religiosidade e eticidade da existência humana contribui para limitar, conscientemente ou não, a própria acção humana definidora do que realmente somos ou queremos ser em liberdade e em intersubjectividade. Para a acção, bem como para o conseqüente e nefasto sentimento de culpa ou remorso, existem referenciais (quadros culturais ou padrões conceptuais, como a religião, a ética ou a moral) que orientam para uma dada ideia de “bem”.

Todavia, a ideia de “bem” pode não corresponder ao bem em si, porque pode ser uma tendência ou uma ideia ilusória do verdadeiro ou efectivo bem que, sendo sempre apetecível, nem sempre é um bem em si mesmo absoluto e inequívoco. Pode decorrer de uma tendência e, como tal, a ideia de bem possuir uma efemeridade. “O bem moral é afazer”, segundo Roque Cabral (2000: 21), é uma construção permanente do indivíduo que “tem o dever de proceder sempre moralmente bem” (e não no sentido de que tudo o que é moralmente bom seja obrigatório).

Sobre o bem em si, a ideia de “bem” e o entendimento do conceito de “bem” colocam-se dúvidas e questões pertinentes para a compreensão da religiosidade enquanto concepção e prática colectiva de um determinado bem. E.g.: Os conceitos (e.g. “liberdade”, “bondade”, “bem”, etc.) e os respectivos valores são conceitos ético-morais absolutos ou são simples concepções sociais e culturais propostas pela religião como forma de vida?

Considerando o “bem” como concepção social e cultural, George Steiner (2003: 12) considerou, a propósito, que “em maior ou menor grau, o núcleo religioso do indivíduo e da comunidade foi degenerando até se transformar numa convenção social”. Face à pergunta anterior, constituem-se as almeçadas “experiências de esperanças”, segundo a expressão de Steiner (2003: 20) que cada pessoa possui, pois a religião propõe-se oferecer aos crentes uma espécie de “contrato de esperança messiânica no futuro” (Steiner, 2003: 21).

A própria palavra “bem” pode, desde logo, induzir-nos em erro, porque as palavras são, por norma, muito estáveis em termos semânticos, enquanto os conceitos alteram-se mais facilmente com o uso que lhes é atribuído. A ideia de “bem”, enquanto considerada como conceito relativo, deve ser distinta do próprio bem, enquanto considerado como valor absoluto. De igual modo devem estar distintas as “coisas boas” do significado de “bem”.

“Bem” é um valor absoluto muito estimado por todas as culturas e sociedades, possuindo cada uma destas a sua própria ideia e concepção de “bem”. A ideia de “bem” corresponde a uma realidade imaterial, intangível e supra-sensível, i.e. traduz qualidades conceptuais implícitas, difíceis de representar e de definir com rigor, na medida em que se sente mais do que se vê. A ideia de “bem” não reside nos objectos que nos rodeiam; reside em nós, na nossa concepção partilhada e relativa sobre a realidade. A ideia de “bem” não é determinada pelos objectos, por mais exotéricos que sejam, mas pode ser representada por objectos sacros em experiências religiosas que sugerem cultos, tornando-se objectos de culto porque as pessoas, com credos compatíveis, os reconhecem como objectos do bem ou emanados do bem.

Apesar de variável na sua concepção e de absoluta nos seus valores subjacentes, a ideia de “bem” tem uma utilidade fundamental para qualquer cultura ou sociedade: a intersubjectividade. O mesmo significará unir pessoas em torno de certas valorizações. A ideia de “bem” é necessária à vida colectiva, pois, unifica as pessoas em torno de determinados desígnios. Por isso até se pode designar a ideia de “bem” como produto cultural, resultado da racionalidade instrumental sobre a natureza. É uma representação simbólica e colectiva de um ideal. Neste sentido, a ideia de “bem” funciona como instrumento racional que resulta da vontade humana em possuir uma espécie de bússola de orientação para os comportamentos sociais, atitudes, pensamentos, crenças ou intersubjectividades quotidianas.

O uso autónomo da liberdade ou a prática do bem, por via do seguimento criterioso de valores religiosos ou ético-morais influi na intersubjectividade. Não sendo possível evitar a intersubjectividade, se o ser humano tiver de obedecer à lei moral kantiana e estar sujeito às exigências da razão, a bondade não será espontânea (Murdoch, 2003: 10). Todavia, também não será espontânea no caso de o ser humano ser obrigado a seguir um mandamento divino, como anteriormente se referiu com o dilema de Êutifron ou com o caso de Abraão.

Numa época marcada por traços ou indícios de secularização, desmitificar ou “desculturalizar” a religião e a ética e resgatá-las de uma auréola tradicional, conservadora e espartana no fomento impositivo de um determinado “bem”, consoante uma dada tábua de valores, poderá afigura-se muito conveniente para a prossecução dos egrégios propósitos reguladores da intersubjectividade. Um olhar mais heteronómico sobre o modo como a experiência religiosa e as acções ético-morais se expressam e se incrustam na condição humana intersubjectiva permitirá uma reflexão e representação mais edificante para a racionalidade e universalidade da bondade e livre-arbítrio.

Atendendo à utilidade da religião e da ética (bem como às similitudes e interrelações profficas entre ambas) exposta e evidenciada neste ensaio, um forcejo mais heurístico sobre o valor em si da bondade e da liberdade da acção quotidiana se aproximaria da natureza e cultura humana propensas à intersubjectividade. Este forcejo substituiria o cultivo de um certo absolutismo fenomenológico sobre o bem e sobre a ideia de “bem”, que incide num dado modo de vida padrão e de identificação imposta entre o bem e o dever. Talvez mais se adequaria o aludido forcejo, entendido como um olhar mais directo e incisivo sobre a praxis e a representação social espontânea da bondade, dado um presente estilo de vida quotidiana cada vez mais imediato, descartável, simulado e efémero, consequência da globalização e da secularização.

Sendo a religião e a ética tentativas de uma explanação do sentido (último e completo, no caso da religião) da vida, respondem à pergunta “Como viver de modo organizado e em conformidade com (e na base de) ideias, crenças, representações, códigos, práticas, normas e valores colectivos?”. Qualquer resposta a esta perguntachave deve contemplar a intersubjectividade como forma dialéctica de construção do mundo, pois não existe nem poderia existir uma religião ou uma ética individual.

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## THE IMPACT OF POVERTY ON CHILD MALNUTRITION AND ITS MANIFESTATIONS IN ETHIOPIA

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### Abstract:

This paper presents the results of qualitative research aiming to study the influence of poverty on defined examples of malnutrition in children from families in southern Ethiopia. The research methods were ethnographic interview and participant observation of children with kwashiorkor syndrome and marasmus treated at the Hospital of Mother Teresa managed by the Missionaries of Charity in Kibre Mengist, a town in southern Ethiopia. The target group were ten children from nine families and family members who accompanied the child to the clinic. The research aims to answer the question of what the Ethiopian family with child with malnutrition looks like and what are the possible causes of malnutrition were sought. The research aimed to articulate the impact of the social environment on the child's condition and the possibility of effective social work interventions, in Ethiopia and more widely.

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**Key Words:** Poverty. Frequency of families, Hierarchical dining, Monotony of eating

Poverty has always existed and still is everywhere. Nobody knows how to define it really, but we all know what it is. Extreme poverty goes hand in hand with malnutrition.

In the years 2011 - 2012, we worked on an empirical research thesis. In formulating the theoretical basis of our research, we used different concepts of poverty, through experiences of it (Altimir-Bragg in Social Watch), through its causes (Payne, Kusá and Džambazovič), in terms of maintaining human rights (Žilová, United Nations Population Fund in: Social Watch 2010) and in terms of the stratification of society (Mareš, Berger, Keller, Evans-Pritchard, Jandourek, Sopóci, Búzik, Marx, Weber, Durkheim, Parsons, Davis, Moor, Dahrendorf and others). The object of the research was poverty and malnutrition of the rural population of Ethiopia.

Under-nutrition or malnutrition is a general term for the medical condition caused by an inappropriate or insufficient diet. "Malnutrition is the lack of sufficient nutrients sustaining healthy body functions and associates with extreme poverty in economically developing countries. It is a common cause of reduction of intelligence in parts of the world affected by famine" (Benca, 2006, p.104). Some authors (Benca) divide malnutrition into protein-energetic and micronutrition kind, some (e.g., King M, King F, Martodipoero) divide it into a mild form and an acute form (Benca, Bielová, Werner, King et al.).

For the purposes of our research we will describe here only the two most serious types of child malnutrition: marasmus and kwashiorkor.

Kwashiorkor or hypovitaminosis is caused due to the lack of protein and variety of food. The child, seemingly plump, consumes corn dishes monotonously, causing leakage of fluid through blood vessels inside the body. It causes swelling, particularly of the legs, skin and hair changes, slow growth, mental and metabolic disorders. Marasmus or even cachexia is caused by a chronic and long-term lack of energy-valued food. There is a loss of adipose tissue and muscle, slows the growth and development, the child has a geriatric appearance, big belly and is abnormally skinny.

One co-author of this paper worked as a masters student (and currently is working again) volunteering in the small town of Kibre Mengist in area called Adola, about 450 km from the capital, Addis Ababa, in southern Ethiopia, in small clinics organised by Mother Teresa nuns in an anti-malnutrition program. Our original intention was to examine the manifestations of poverty, particularly malnutrition, in Ethiopia and compare it with the situation in Slovakia. We had the idea

that if we understand the symptomatology of poverty in particular malnutrition the poorest country in the world, in Ethiopia, so we can more easily capture signs of malnutrition and poverty in Slovakia. From the outset, however, there were many complications making this time-limited research (June - September 2011) extremely complicated and therefore we stepped back from making comparisons and built up qualitative research on the Ethiopian survey sample. A background cause of poverty and child malnutrition in Ethiopia is the lack of water or contaminated water, causing serious health problems. Adverse weather conditions are also relevant, leading to crop failure and food shortages. Illiteracy, habits, different spreading diseases (tuberculosis IIDS, parasites, etc.) contribute to this misery. In traditional Ethiopian family mothers have eight or more children. In such families, the father has a dominant position, and this is reflected in daily life and, therefore, in diet. Chronic food shortages mean that it is very likely that the child gets into a state of malnutrition. First, the father has to eat and then they eat from the oldest to the youngest child. This is true not only in terms of quantity of food, but also the quality. So not much food remains for the youngest child and, if there is something left, it is only the very bad and poor quality part of the food. In addition to these factors, malnutrition is also influenced by low birth weight and by physical proportions of the mother. Babies are born with low birth weight, often with developmental defects such as short stature, reduced intelligence, immune disorders, and frequent infections. Mothers often suffer from iodine deficiency, which causes mental handicap to their children, or iron deficiency occurs, which causes severe anaemia. Vitamin A deficiency causes blindness and affects the immune system.

The aim of the research was to analyse the socio-economic conditions in nine rural Ethiopian families, and to identify the impact of family poverty on the malnutrition of their children.

The target group consisted of family members (five mothers, one father, one sister, one brother, one grandmother) of a malnourished child. The research involved in a total of nine families (ten children, seven girls and three boys), all coming from the poorest regions of southern Ethiopia. Children were classified on the basis of medical diagnosis in an anti-malnutrition program. All children came to the hospital in a critical condition, five out of the ten children suffered from marasmus and five had the kwashiorkor type of malnutrition. Interestingly, three of the families studied were not considered poor in Ethiopia. The age of children involved was from one to eight years. Apart from one breadwinner, who worked in gold mining for living, all the farmers were illiterate.

As a method of investigation, we chose ethnographic interviews and participant observation, made in the field. The interview was semi-structured, translated into the local language Oromo or Amhara. This interview was conducted as part of the work at the clinic during medical interventions in the anti-malnutrition program. Questions were formulated into 16 areas: basic case-historic data on child and family, the socio-economic situation of the family, traditions, habits and behaviour at the table, on the quality and quantity of eating, on the crops or harvest, on education and occupation of family members, and on behaviours that could cause the child malnutrition. The process of interviewing became very difficult. The question had to be translated from Slovak to an English interpreter, and he translated it from English into their native language Oromo and from Oromo into the Amhara language which respondents used. Another complication was conducting the interview itself. He had dealt with it only as part of the treatment of children, so there was not much opportunity for detailed writing or recording of the answers.

Notes from the responses were made very quickly, while the interpreter translated another question. The observation also was not the easy in the circumstances. We had no equipment and other than observation and we had to carry out our job in providing assistance to children in the program. The child was at the clinic about six to eight hours a day for diagnosis and treatment. We watched not only the child's behaviour, but also the person who accompanied them to the clinic. We observed their habits and customs of feeding and caring for malnourished child, and we assume that this would partly reflect their behaviour towards the child in the domestic environment. Another difficulty was the impossibility to revise our knowledge, respectively to acquire new information because the family with whom we have worked in the clinic, would not return back again and we did not have any contact with them anymore.

To achieve the goal we set two research questions: 1) What is the family, of which the malnourished child is a member like? and 2) What are the specific causes of malnutrition in particular children?

Through ethnographic interviews and participatory observation, we processed recorded information on individual families into nine family profiles.

From the results of the qualitative analysis, we found that the family in which the malnourished child lives is almost always a multiplex family, i.e. with more than five children. The family probably does not have enough food for everyone, so not every member of the family gets the same kind of care and nourishment. In our study, there were nine families and in five cases there were from ten to 20 children in the family. On the other hand, there was one family with only one child in the program and the other families had three children. In that culture it does not matter whether the father of a family has several wives, only children count, because he is supposed to be able to take care of them.

We expected that the main cause of malnutrition would be Ethiopian family dining traditions. That involves the father's pre-emptive right to choose and eat food first, which determines what portion remains to children. The food then passes from the oldest to the youngest. The hierarchical approach to eating had been thought to be an important cause of malnutrition in our study sample of children. Despite this expectation, we found that only two families professed allegiance to this way of dining. The remaining seven families ate meals together and at the same time, with equal portions of food. In one family, even, the children ate first and then food passed to the adults. It was found that a much more serious problem is the repetitive consumption of food (corn and bread) or severe liver disease, and chronic lack of food that causes shrivelling of the stomach and lack of appetite and nearly as strongly the drinking of contaminated water, causing diarrhoea and vomiting.

On the basis of the socio-cultural knowledge we acquired, we assume that the critical malnutrition is the result of family poverty, lack of crops and a monotonous diet. According to our criteria, we considered all the family very poor, but only three of them subjectively experienced poverty. As most respondents were farm families, we asked them what they grow or produce, what they buy and what animals they keep. Mostly they grow, sometimes buy corn, cabbage, some vegetables or oranges and lemons and teff in any form. They also own one cow for milk and meat, hens for eggs and meat, and besides that, they have nothing. One family owned a donkey and goats, but they did not use milk from them. They do not eat eggs, but sell them so they can buy oil and sugar. If they are able to obtain butter and milk, only the father consumes them. Others eat only corn and cabbage prepared in different ways. They usually eat twice a day. Crop production is marked by very poor knowledge of farming. Each year, they sow the same kind of crop which gradually degenerates and is not renewed; they are unaware of irrigation systems and so they are dependent on nature.

From our analysis of family profiles, we were unable say that the cultural context of families does not allow us to identify the characteristics of Ethiopian families with the malnourished children. In the Ethiopian context, children from multiplex families may develop acute malnutrition much more quickly than children from families with fewer children. However, having a large number of children in the family may not clearly indicate that children will be malnourished or vice versa, that a child from families with fewer children do not become malnourished. The traditional hierarchical system of diet is also not clearly identified in the research as the cause of malnutrition of young children. We would have to examine extensively, for example, the family constellation of a specific malnourished child, the family atmosphere, the role of the family in the community and related matters to identify the full range of causes. The lessons learned from this research allow us to claim is the cause of malnutrition in children observed is the lack of food, lack of an energy-dense and varied diet, the generally low level of knowledge of parents not only about health and family, also about the cultivation of crops and effective handling of the harvest.

**In conclusion**, we would like to express the regret that we did not do a comparative study of signs of malnutrition caused by poverty in Ethiopia and Slovakia. We found it difficult to identify a research sample for our work in Slovakia. We assume, however, that it is certainly possible in some notorious "social ghettos" of Slovakia to find similar children, and not just children from Roma settlement environments. Perhaps, there are even children paediatricians see in their clinics and do not

identify that an apparently neglected or perhaps abused child is really malnourished. Maybe they do not suffer from disease of kwashiorkor or marasmus yet, but there are parallels with the Ethiopian situation. Malnutrition is a manifestation of extreme poverty. The consequences of malnutrition may be resolved by medical intervention, but they can be prevented only by excellent social work interventions.

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## **POVERTY AND SOCIAL EXCLUSION IN SAN LUIS POTOSI: SEARCHING STRATEGIES**

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### **Abstract:**

In San Luis Potosi (Mexico), the intensification of the lack of basic needs of the people leads to a high level of poverty that is related to the incapacity to generate jobs, marketable services and infrastructure that allow them to interact with other economic and labor sectors. A recent report of the Mexican Social Development Ministry mentioned that 54% of Mexicans live in poverty, (surviving on less than USA \$ 4 a day), while 32% do so with less than 2.5 dollars, and 24% with less than \$ 2 a day. Indeed, poverty, extreme poverty and social marginalization in San Luis Potosi are associated with populations living in small villages, scattered and often isolated. These populations are closely related to the primary economic activity, with little possibility of entering to the national and much less international market, despite having large endogenous capacities. The main purpose of this paper is to analyze the situation of poverty and social marginalization in San Luis Potosi, focusing on the local government strategy to fight against these issues. The central argument or hypothesis is that, the Mexican government at all levels (federal, state and municipal), with inappropriate strategies of combating poverty, tends to get lost in the complex system of the national economy; that mitigates the efforts of combatting poverty and social exclusion. That is why local governments in San Luis Potosi are exposed to serious risks of improvisation and failure in their policy to combat poverty and social exclusion.

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**Key Words:** Poverty, Social Exclusion, Entrepreneurship

### **Introduction:**

The notions of poverty and social exclusion are full of ambiguities, controversies, inaccuracies and difficulties of definition; so their approach requires a critical analysis of the dominant paradigms in the academic and socio-political spheres. In general, the reflections on these concepts tend to emphasize the anthropological and sociological dimensions that exist between people and their lifestyles.

In Mexico, the fight against poverty and social exclusion is a major challenge and is still associated with a high inequality in the distribution of national wealth. Also, the needs of the Mexican people have many dimensions, such as human capabilities (especially on education and health), access to infrastructure, income, vulnerability and social marginalization.

The denial of these multiple dimensions and realities can be seen as an imperfect approximation to the notion of welfare in terms of freedom (or capacity) of a person to build his life. This depends largely on a combination of decision-making of government, and the capacity of citizens and their ability to be the Protagonist of their lifestyles. This ability is largely determined by the political and economic context in which people live.

Part of this work intends to present the struggles undertaken by the local government of San Luis Potosi to face these issues. It tries to explore some initiatives proposed by the local governments with respect to economic and non-economic factors such as the social, cultural, historical, institutional, etc. That is to say, a series of factors that militate in favor of the fight against poverty and social marginalization.

In fact, it is the process of transforming the economy and local society, aimed at overcoming the existing difficulties and challenges, seeking to improve the living conditions of its people through determined and concerted action among different socio-economic actors, public and private, for more

efficient and sustainable use of existing indigenous resources (Pike et al. 2006). This process occurs through the use of the entrepreneurial skills of the actors involved in this dynamic, which can lead to gradual mitigation of individual deficits. This approach also considers the importance of social capital and the links of cooperation with external agents to capture human, technical and monetary, among other contributions to the local development strategy (Montoya, 1998: 47).

For an understanding of the challenges to local development, it is necessary to include the analysis of several indicators ranging from forms of governance, to social capital, poverty and social marginalization... it is from this perspective that the idea of real changes and supportive organizational capacities of the poor and marginalized can be introduced.

One way to combat poverty while promoting local development is undoubtedly the harness of the endogenous potentials of local actors. Failure to establish a direct correlation between poverty and its effects on local development may be limited to "compensate" the exclusionary effects of the general economic and social situation.

Furthermore, an analysis of the experiences of combating poverty and social exclusion leads to a questioning of traditional conceptions and development programs that have been dominant in recent decades and that have not reached the desired results in practice. So then, this paper will emphasize two programs implemented in the city of San Luis Potosi as strategies to combat poverty and social marginalization. These are; "*Piso Firme Program*" and the *Training Programs for Entrepreneurs in Community Development Centers*.

### **Main Text:**

#### 1 - Overview of San Luis Potosi.

San Luis Potosi is one of the 32 federating units that comprise Mexico. It is located in Mexico's central plateau, in the north central region of the country and occupies a wide area of central Mexico. Its official name is Free and Sovereign State of San Luis Potosi. With a land area of 63,068 km, it is the fifteenth state of Mexico by land extension.

The state of San Luis Potosi is rich in culture, heritage and history. It is bordered with 9 states; Nuevo Leon and Coahuila in the north, Tamaulipas in the northeast, Veracruz to the east, Hidalgo in the southeast, Queretaro in the south, Guanajuato, Jalisco and Zacatecas to the west.



Location of San Luis Potosi: Google Map

San Luis Potosi has a profitable location in the Mexican territory because it is a compromise between the three major cities of the country: Mexico City, Monterrey and Guadalajara, and between four important ports: Tampico, Altamira, Manzanillo and Mazatlan. In addition, its varied climate,

road and rail network facilitate easy trade and makes it one of the few states in which you can develop a significant business infrastructure.

The economic impact of the state is due to several factors such as tourism, industry and geographic location that allows the rapid transport of products to almost anywhere in Mexico. However, this economic development is seen only in the state capital, which has led to a great migration from the suburbs to rural areas as well as other neighboring states such as Nuevo Leon and Tamaulipas, and mainly to the United States.

The economic development of San Luis Potosi has been weakened by political and social problems that have adversely changed the perception of public safety in the state and in the area. However, it has experienced in recent months economic growth (especially in the capital city San Luis Potosi), due to local policies that have taken advantage of its geographical location. Today we have developed a large number of industrial parks that have driven the manufacturing and industrial sector. Despite this there is a fiscal burden on state taxpayers

## **2- From local needs to poverty in Mexico.**

Today, Mexico is involved among others in two important processes: in the economic sphere, which is engaged in an ongoing process of integration into the international economy. On the political and social, the country is undergoing a process of deepening democracy. However, the two processes are complex and are often characterized by forgetfulness of the "local issues". These transitions are key aspects that influence Mexican State policies at all levels of government as well as in the lives of citizens, whose real needs are relegated to the third / last shot.

Local needs generally come from the deprivation of the people, in their desire to raise their standard of living. The study of the satisfaction of human needs has led to the development of different theories, of which the best known is the "theory of human needs" developed by the American psychologist Dr. Abraham Maslow. Also, one of the goals of governments at all levels (at least in their rhetoric) is precisely to provide resources to individuals so they can satisfy their needs.

Moreover, the intensification of the lack of basic needs leads to a degree of poverty that is related to the lack of capacity to generate jobs, marketable services and infrastructure that allow them to interact with other economic and labor sectors. The measurement of poverty has been investigated in several national and international institutions. In general, the methods of measurement refer to the level of income that a household needs to meet basic needs (food, health, education...).

A recent report by the Social Development Secretariat mentioned that 54% of Mexicans live in poverty, indicating that live on less than \$ 4 a day, while 32% do so on less than 2.5 dollars, and 24% less \$ 2 (SLP, 2010). The poorest States are Chiapas, Guerrero, Oaxaca, Tabasco and Durango where a high percentage of indigenous population is concentrated.

An article of the National Newspaper *Excelsior* published in July 2007, stated that the extent of poverty in the municipality of Santa Catarina (belonging to the state of San Luis Potosi) is similar to that of Botswana, an African country where life expectancy is 34 years and 73.6% of the population lives on less than two dollars a day). Thus, Santa Catarina is one of the towns of Mexico with lower per capita income, with a Human Development Index that ranks among the poorest areas of the country, a fact that was confirmed in the Experts Forum, hosted by the Autonomous University of San Luis Potosi in January 2010.

Poverty and extreme poverty are associated with populations living in small towns, scattered and often isolated. These populations are closely related to the primary economic activity, with little possibility of entering to the local market and much less to the international one, despite having competitiveness. One cause of this is the isolation and lack of transport and communications structure. Access to paved roads with continuous maintenance is limited, while small roads or gaps interconnect other locations, which are always inaccessible especially in bad weather.

Indeed, the unequal distribution of wealth has concentrated the National Income on certain sectors such as those specifically dedicated to the export of goods and services, neglecting others like agriculture, small and medium business on which local development relies heavily.

### 3 - Measuring poverty in San Luis Potosi.

The lack of information networks, corporate support, training on entrepreneurship and other factors, prevent opportunities from reaching the poor people. This situation is certainly one of the causes of the rise of poverty and social exclusion in San Luis Potosi as indicated by the following table.

Medición de la Pobreza, San Luis Potosí, 2010						
Incidencia, número de personas y carencias promedio en los indicadores de pobreza, 2008-2010						
Indicadores	Porcentaje		Miles de personas		Carencias promedio	
	2008	2010	2008	2010	2008	2010
<b>Pobreza</b>						
Población en situación de pobreza	51.2	52.3	1,296.6	1,353.2	2.8	2.5
Población en situación de pobreza moderada	36.0	37.6	911.2	972.8	2.3	2.1
Población en situación de pobreza extrema	15.2	14.7	385.4	380.4	3.9	3.7
Población vulnerable por carencias sociales	26.1	21.5	660.9	557.0	2.1	1.9
Población vulnerable por ingresos	6.1	7.2	155.2	186.1	0.0	0.0
Población no pobre y no vulnerable	16.6	19.0	420.7	492.5	0.0	0.0
<b>Privación social</b>						
Población con al menos una carencia social	77.3	73.8	1,957.5	1,910.2	2.5	2.3
Población con al menos tres carencias sociales	35.4	28.9	897.8	747.0	3.7	3.6
<b>Indicadores de carencia social</b>						
Rezago educativo	23.0	22.2	582.0	574.7	3.3	2.9
Carencia por acceso a los servicios de salud	36.3	21.0	920.2	542.8	3.1	2.9
Carencia por acceso a la seguridad social	64.4	57.2	1,630.7	1,481.6	2.8	2.6
Carencia por calidad y espacios de la vivienda	22.5	16.4	570.7	423.5	3.7	3.6
Carencia por acceso a los servicios básicos en la vivienda	26.4	25.8	667.7	667.7	3.5	3.2
Carencia por acceso a la alimentación	23.3	30.1	591.4	779.1	3.4	3.0
<b>Bienestar</b>						
Población con un ingreso inferior a la línea de bienestar mínimo	22.2	26.0	561.2	672.2	3.1	2.7
Población con un ingreso inferior a la línea de bienestar	57.3	59.5	1,451.8	1,539.3	2.5	2.2

Fuente: estimaciones del CONEVAL con base en el MCS-ENIGH 2008 y 2010.  
NOTA: las estimaciones de 2008 y 2010 utilizan los factores de expansión ajustados a los resultados definitivos del Censo de Población y Vivienda 2010, estimados por INEGI.

This table shows that in the State of San Luis Potosi, between 2008 and 2010, poverty in its different aspects had increased from 1.1% to 2.4%. According to national studies, in San Luis Potosi there are 30 marginalized communities where more than 140,000 people live; so, the challenge of implementing social programs is crucial to improve their lifestyle.

### 4 - The Administration of San Luis Potosi in search of Strategies to combat Poverty

The reduction of poverty and social exclusion are two major challenges that the area of Social Development of the local governments of San Luis Potosi try to face in the short term. The Mayor,

Mario Garcia Valdez, has mentioned this in a public speech in February this year (2013). This is to provide all residents of the City with infrastructure and basic services, whether they live in the urban or rural area.

In this regard, the Director of Social Development, Beatriz Eugenia Rodriguez Benavente, announced the implementation of various social programs to improve the living standards of people. She said that to achieve those programs, it is important to strengthen the coordination between the Federal and Local governments, especially the Social Development Ministry and the Ministry of Social and Regional Development. In fact, the coordination between all these actors should efficiently mitigate the levels of marginalization and poverty, through the implementation programs such as "*Piso Firme*" and the *Training Programs for Entrepreneurs in Community Development Centers* in San Luis Potosi.

### **5 - The "Piso Firme Program"**

The "Piso Firme" program was created in 2000 during the administration of former president Vicente Fox to improve the living space of many families. The implementation of the Program contributes to the decline in death rates from infection of gastrointestinal and respiratory diseases, while in the meantime it increases the opportunities for people to enjoy a full and healthy development.

The main purpose of the Program is to raise the life standards of the population living in rural areas and neighborhoods with higher levels of social exclusion by improving housing stock.

#### *Requirements for the implementation of the Program*

It is designed for families in poverty, in homes with dirt floors. The process included in the Program begins with a simple dialogue with the head of the local governments.

#### *Benefits of the Program*

- Reduces respiratory diseases
- Reduces the presence of parasites on children
- Decreases episodes of diarrhea on children
- Reduce the incidence of anemia
- Help to increase the lifestyle of people

### **6 – The Training Programs for Entrepreneurs in Community Development Centers**

One of the main reasons for the lack of entrepreneurial culture in San Luis Potosi is the lack of agencies that encourages new business initiatives. The organization of Entrepreneurship Workshops at Community Development Centers (CDCs) in San Luis Potosi has generated the beginning of a real change of life for many citizens. However, it is important to develop the skills acquired in these workshops to awaken and encourage the entrepreneurial potential of people. That is why creating connection systems between business sectors and marginalized communities development can achieve business opportunities for the people. The initiative of creating mechanisms for entrepreneurial training with human and social approach proposed by the Program reflects its vision.

This project seeks to support the neediest citizen attending the Entrepreneurship Workshops at the nine Community Development Centers of San Luis Potosi. Also as part of the strategic planning of any program or project, the diagnoses are the starting points and the fundamental basis of the actions to be undertaken in the short, medium and long term.

#### ***Program Objectives***

##### **General Purpose**

- Design and implement a training program for entrepreneurs with a social approach, to materialize ideas and projects of the CDC's entrepreneurs, facilitating the generation of more than 85 new companies by the end of 2013.

##### **Specific Objectives:**

- Encourage creativity, innovation and entrepreneurship to users of the CDC's

- Generate an entrepreneurial mindset.
- Encourage the mass dissemination of existing tools to support entrepreneurship,
- Ensuring the survival and growth of incubated businesses.

## **7 - Implementation Strategies**

### a) Selection Process

#### *Entrepreneur Profile:*

- People with a desire to excel
- Being proactive with initiative
- Willing to risk
- Have a business idea preferably based on already possessed skills or those in which there is a willingness to be trained.
- One without a business idea must be willing to seek immediate options (the program will give such advice).

### b) Requirements for admission to the Program for Entrepreneurs

- 1- Apply for the entrepreneurship course.
- 2- An initial interview (not to disqualify or filter, only to have a sense of recognition of the skills present in the individual, including their psychological profile)
- 3- Formal registration for the entrepreneur program at CDC
- 4- Administrative procedures

### c) Documentation:

- Completing the Registration Form
- Proof of address.
- Birth Certificate
- Copy of an official ID.
- Copy of health service to which one belongs.
- Letter of commitment

## **8- Training**

The training program is designed to respond immediately to repeated requests by innovative and entrepreneurial groups to create a comprehensive training courses. That courses target disadvantaged citizens in the municipality of San Luis Potosi, in the context of the users of the CDC's.

This training program is the first of its kind, as it integrates psychological support to entrepreneurs. The design of training courses and materials was done by a team of professionals specialized in different areas of economic and social development of H. SLP City Council, the Research area of the School of Accounting and Management, as well as the Department of Entrepreneurship Development, both of the Autonomous University of San Luis Potosi.

The training program has been developed for selected prospective entrepreneurs (poor and marginalized people) to enter the business program of the CDC's H. City of San Luis Potosi and other stakeholders in the area of business development who wish to increase their understanding and knowledge in this area.

The program consists of 6 training courses ranging from introductory basics designed for new business entrepreneurs, to specialized and complex topics such as marketing, administrative processes, applied marketing, production and financial plan of the business.

### *Main courses of the program*

#### a) **Self-esteem and motivation**

4 hours per week during three months

Objective: To prepare and provide the people with the skills, abilities and motivational elements that every entrepreneur must have to run a business surrounded by talent and teamwork.

**b) Principles of Business Management**

4 hours per week during three months

Objectives:

1. Know the principles basis for the operation of a business.
2. Detect business opportunities based on personal skills.
3. Learn strategies to identify business opportunities based on personal skills.

**c) Gender equality as a tool for the development of entrepreneurial potential**

4 hours per week during three months

Objective: To sensitize residents in poor communities in the Municipality of San Luis Potosi to promote gender equity for the creation of family businesses.

**d) Development of Business Plan for Entrepreneurs**

4 hours per week during three months

Objective:

- 1- Develop methodological tools for the development of a business plan.
- 2- Develop entrepreneurial skills as well as design a business plan that supports one to specialize in a formal business.

**e) Business Incubation Process at the Autonomous University of SLP.**

Objective: Get a logistical and financial support for the entrepreneur to enter into the business incubator of UASLP, considering that the incubation period in traditional business is 6 months, including one on one consultation with specialists in various business areas.

**f) Business Acceleration (after 3 years of operating a FORMAL BUSINESS)**

Objective: Increase the level of performance of an existing company, focused on Sales and Marketing, Organizational Culture and Continuous Improvement Process.

This stage involves the process of accompaniment by an incubator, so that the new company is not left alone, in order to ensure business success.

**Conclusion:**

To break with the dominant paradigms (paternalism) in combating poverty and social exclusion, it is necessary to establish a relationship between the real needs of people with limited resources and objectives of local governments. Also, government planning must assume objectives and priorities, which should be established at the stage of conception and formulation of a comprehensive development plan. Also, Taylor (2006: 54) states that the planning agenda of local governments should have as one of its priorities the fight against poverty and social exclusion, precisely because the current social reality of Mexico requires that priority.

The choices made by the local government of San Luis Potosi in this struggle help to determine the results sought by the current municipal administration for the benefit of the poor people. Indeed, as mentioned by Cardozo (2004: 12), in the fight against poverty, a balanced management planning methodology with active institutional and community participation, will help to improve the quality of lifestyle of local people, breaking with the dynamics of marginalization and strengthening the socioeconomic structure at the Local, municipal, State and national levels.

In this sense, the two programs presented in this paper to provide, facilitate and enhance inter-agency working, helps to direct impacts and purposes of the strategies to fight poverty in San Luis Potosi. Also, in order to redefine the methods in the fight against poverty, it is essential today that the poles of decision making at the municipal level should establish a cohesion between the theoretical and practical dimensions, to dilute the tension between belief and illusion, between rhetoric and reality, between what is and what should be the living conditions of the people with low income.

It is the balance between these aspects that can give a human face to the municipal programs of social and human development with two fundamental aspects:

1 - The conception of humanity as a whole (horizon of current debates about inequality, polarization, asymmetry, discrimination, xenophobia etc.)

2 - The conception of the human person as unique versus the dehumanization of intersocietal relations, as product of hyper-globalization and economic liberalism.

This scenario suggests the importance of thorough research on new models of the fight against poverty and social marginalization. More than anything, the rationalization of the combat against poverty is a very important intellectual operation that exceeds the simple desire to support local development as it is a decision-making process with multidimensional impacts. It is a matter of general administration, and public administration in particular that should be based on logic and inter-institutional planning to reduce the gap between political speeches (which are often empty and demagogic during elections) and implementation of a true integral human development policy.

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# **POLICY IMPLEMENTATION AND RURAL POVERTY REDUCTION IN NIGERIA (AN ANALYSIS OF THE NATIONAL POVERTY ERADICATION PROGRAMME (NAPEP) IN ADO-ODO OTA LOCAL GOVERNMENT AREA, OGUN STATE)**

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## **Abstract:**

This study examines Policy Implementation and Rural Poverty Reduction in Nigeria (An Analysis of National Poverty Eradication Programme in Ado-Odo Ota Local Government Ogun State). This becomes imperative in view of the growing incidence of poverty and underdevelopment in the rural areas in Nigeria and government's inability to tackle the problem. The rural dwellers are facing many challenges such as ill-health, poor education, lack of basic infrastructure and opportunities, natural disasters and economic upheaval as well as crime and violence due to neglect and inconsistency in the poverty reduction policies and programmes over the years.

The study makes use of primary and secondary data. Questionnaires were administered and analyzed. The findings reveal that there have been constraints in policy implementation in Nigeria such as: unrealistic goal setting, corruption, lack of consideration of socio political environment and lack of participation of target beneficiary in policy decisions. NAPEP is constrained by these problems, which is why it could not make much impact in the rural areas.

The study therefore, recommends that government should show more sincerity and commitment to rural poverty reduction through effective policy implementation. This can be achieved if policies and programmes are made relevant to the rural people through their participation in the determination of their needs, bridging the gap between the intention and the actual implementation of policy and realistic goal setting. Attention should also be paid to checking corruption and ensuring transparency and accountability. This will reduce policies' failures and bring about the desired development in the rural areas in Nigeria.

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**Key Words:** Policy, Implementation, Poverty, Eradication, Rural, Nigeria

## **Introduction**

Poverty is a global phenomenon but the level of the problem in developing countries has reached alarming proportions. Globally, about 1.2 billion people are living in extreme poverty less than one dollar per day. Due to the high prevalence of poverty, reducing it has been of grave concern to many countries in the past few decades. Though, there have been a lot of improvements in the developed world, such cannot be said of developing ones especially in the Sub-Sahara Africa where poverty is prevalent due to many factors namely: poor governance and political instability, poor economic management, mismanagement of resources, poor programme implementation, corruption and lack of purposive leadership (Babatunde, Olorunsanya and Adejola, 2008).

The Nigerian situation has been described as a paradox. This is because the poverty level contradicts the country's immense wealth. Among other things, the country is enormously endowed with human, agricultural, petroleum, gas, and large untapped solid mineral resources. Rather than recording remarkable progress in socio-economic development, Nigeria retrogressed to become one of the 25 poorest countries in the world (Ekpe, 2011). The 2010 poverty index indicated that 60.9% Nigerians now live in absolute poverty (Baba-Ahmed, 2012). Most of these poor people reside in the rural areas.

Poverty is more pronounced among the rural dwellers in Nigeria because the people are backward and underdeveloped in terms of minimum human standard of living. In the rural areas, the roads are bad, women and children walking barefooted and trekking long distance to get water and firewood, pupils studying under trees, dilapidated and ill equipped health centres, poor education, lack of facilities and opportunities, natural disasters and economic upheaval as well as crime and violence. This is due to neglect and inconsistency in the poverty reduction policies and programmes of successive governments since 1960 in Nigeria (Aderonmu, 2010).

The need to find lasting solution to perennial problem of poverty in Nigeria culminated in the establishment of National Poverty Eradication Programme (NAPEP) in 2001. In spite of huge resources devoted to NAPEP, deterioration in fiscal discipline, corruption and poor implementation which undermined past efforts still make poverty eradication in Nigeria a mirage.

It is, therefore, imperative to investigate the factors which may have impeded effective policy implementation and development of the rural areas over the years using NAPEP in Ado-Odo Ota rural communities, Ogun State, Nigeria as a representative. The research is predicated on two questions: (1) Does NAPEP have effect on rural poverty reduction in Nigeria? (2) Are there constraints of effective implementation of NAPEP in the rural areas in Nigeria?

### **Conceptual Clarifications**

Policy implementation is the action side of the government. It provides the operational area of function in carrying out public policy declared by competent authority. Mbieli (2006) explains that, in the execution of public policy, the combination of human, material, machine and money are highly necessary. He argues further that the agencies involved in the implementation exercise are classified into two broad categories namely: the government and the non-governmental agencies. These agencies are responsible for providing the required goods and services and developing the people.

According to Maduabum (2008), policy implementation is critical to the success of any policy since it constitutes the epicenter of the policy process. It involves the identification of policy plans, programme, projects and activities; a clear definition of the distinct roles of implementation organizations or agencies; details of strategies and necessary linkages and coordinating mechanisms; as well as resources (human, financial, material, technology, information acquisition and utilization). Efficient and effective policy implementation would require inputs of sound managerial and administrative capabilities in terms of proper activity scheduling, resource mobilization and rationalization, network analysis, budgeting, supervision, problem-solving, decision making and cost/benefit analysis.

Randel (2010) adds that, performance standards must be set along with policy targets, guidelines, plans and time frame in order to avoid implementation gap. He describes implementation gap as the difference between well-stated and articulated policy objectives or expected outcomes and the actual outcome which is a consequence of inefficient or poor policy implementation.

However, the key activity in policy formulation and implementation process is goal setting. Sambo (2008) explains that policy makers in developing countries engage in the elaborate exercise of goal setting by creating structures for planning. As policy makers make a fetish of planning as basis for development but often create lag between the expectations and realization of policy makers in developing countries. Egonmwan (1991) notes that, the problem of implementation gap arises when policy emanates from government rather than from the target groups. By this, it means that planning is top-down, and by implication, the target beneficiaries are not allowed to contribute to the formulation of the policies that affect their lives.

Poverty has attracted so much attention to academic, analysts, governmental, non-governmental organizations and international agencies. Poverty is multidimensional; it includes various alienations and deprivations such as: lack of human capabilities, poor life expectancy, poor maternal health, illiteracy, poor nutritional levels, poor access to safe drinking water and perceptions of well-being (Anyanwu, 1997). However, Issues in Poverty now include: physiological and social deprivations, vulnerability, inequality, violation of basic human rights (World Bank Report, 1999), and the observable disadvantage in relation to the local community or the wider society or nation to which a deprived individual, family, household or group belongs (Zupi, 2007).

### Poverty Trend in Nigeria

Despite the fact that Nigerian economy is paradoxically growing, the proportion of Nigerians living in poverty is increasing every year as shown in Table 1. The proportion of the population living below the poverty line increased significantly from 1980 to 2010.

**TABLE 1: Prevalence of Poverty in Nigeria 1980-2010**

TOTAL	1980	1985	1992	1996	2004	2010
	Percentage of poor people in total populace					
	28.1	46.3	42.7	65.6	54.4	69.0
SECTOR						
URBAN	17.2	37.8	37.5	58.2	43.2	61.8
RURAL	28.3	51.4	46.0	69.3	63.3	73.2

**Source:** National Bureau of Statistics, Nigeria, 2012

The above poverty statistics shows a national relative poverty level of 69 percent for 2010. This indicates that the poverty situation in Nigeria has worsened. With 73 percent relative rural poverty compared with the urban relative poverty level of 61 percent shows that the incidence of poverty is even worse in the rural areas than the urban centres. The absolute poverty level in Nigeria for the same period is put at 60 percent. Absolute poverty for the rural poverty in the same period is 66 percent while the urban is 52 percent.

### National Poverty Eradication Programme

As a result of worsening poverty situation in Nigeria, NAPEP was put in place in 2001 to eradicate absolute poverty in Nigeria. The programme was arranged into four schemes: First, the Youth Empowerment Scheme (YES), which was concerned with providing unemployed youth opportunities in skills acquisition, employment and wealth generation. Second were the Rural Infrastructure Development Scheme (RIDS) to ensure that the provision and development of infrastructural needs in the areas of transport, energy, water and communication, quality primary and special education, strengthening the economic power of farmers, providing primary health care especially in rural areas. The third was the Social Welfare Services Scheme (SOWESS) which aims at ensuring the provision of basic social services, quality primary and special education, strengthening the economic power of farmers and providing primary health care. The last was the Natural Resources Development and Conservation Scheme (NRDCS). The vision of this scheme was to bring about a participatory and sustainable development of agricultural, mineral and water resources (Elumilade, Asaolu and Adenreti, 2006).

However, NAPEP was to completely wipe out poverty from Nigeria by the year 2010 (Bindir, 2002) but many years after the implementation of NAPEP the poverty situation in Nigeria worsened. The poverty level in Nigeria has increase from 54.4% absolute poverty in 2004 to 60.9% in 2010. Ugoh, et al, (2009) identify factors that have contributed to the failure of NAPEP which include: poor targeting mechanisms, failure to focus on the poor, programme inconsistency, Poor implementation and corruption.

### Methodology

The study adopts survey design. The study population was 22 rural communities of Ado-Odo Ota Local Government Areas, Ogun State, Nigeria. Samples of 10 percent of the population were selected from each of the 22 villages of agrarian rural communities' type totaling 880 people. 10 percent was also selected from the Local Government Council secretariat staff and the staff of the NAPEP office at the Federal Secretariat, Ogun State respectively. The total sample size was 960. The 960 questionnaires were administered and 720 were retrieved and were used for the study. Stratified

sampling method was used. (The distributions of the questionnaire in the research locations are as stated in appendix. Note that the estimated population is as obtained from the village heads and the Community Development Associations of each village which was collaborated by the Department of Community Development in Ado-Odo Ota Local Government Council in Ota, Ogun State).

### Data Analysis

#### Research question 1: What is the effect of policy implementation on rural poverty reduction in Nigeria?

Table 2: On whether Implementation of policies on poverty has impacted positively in the lives of Ado-Odo Ota rural people.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Strongly Disagree	408	56.7	56.7	56.7
Disagree	228	31.7	31.7	88.4
Agree	24	3.3	3.3	91.7
Strongly Agree	60	8.3	8.3	100.0
Total	720	100.0	100.0	

(Source: Field Survey, 2011).

The above data show that 88.4 percent disagreed while 11.6 percent agreed. It indicates that implementation of policies on poverty has not impacted positively in the lives of people in Ado-Odo Ota rural area.

On whether NAPEP carried out intervention Programmes such as: infrastructure like; roads, pipe borne water, and electricity including skill acquisitions in Ado-Odo Ota rural communities, the data show that 73.9 percent disagreed, 6.7 percent agreed while 19% percent is undecided. Based on this, the respondents disagreed that NAPEP's intervention Programmes have been provided in Ado-Odo Ota rural communities by NAPEP officials.

The above results have shown that NAPEP has no effect on rural poverty in Nigeria.

#### Research question 2: What are the constraints of effective implementation of NAPEP in the rural areas in Nigeria?

On whether the goal set by NAPEP has been realized in Ado-Odo Ota rural communities.

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Strongly Disagree	312	43.3	43.3	43.3
Disagree	220	30.6	30.6	73.9
Undecided	140	19.4	19.4	93.3
Agree	48	6.7	6.67	100.0
Total	720	100.0	100.0	

(Source: Field Survey, 2011)

The above data showed that 73.9 percent disagreed, 6.7 percent agreed while 19 percent is undecided. Based on this, the goal set by NAPEP has not been realized.

On whether there have been no corruption and mismanagement of funds by NAPEP's officials. The data show that 91.7 percent disagreed, 5.0 percent agreed while 3.3 percent undecided.

Based on this, it indicates that there have been corruption and mismanagement of funds by NAPEP officials.

On whether NAPEP has been used for political patronage, the results show that 20.9 percent disagreed, 67.4 percent agreed while 11.6 percent undecided. Based on this, the respondents agreed that NAPEP has been used for political patronage.

On whether the socio-economic condition of Ado-Odo rural community was considered in NAPEP formulation and implementation, the data show that 76.1 percent disagreed, 15.0 percent agreed while 8.9 percent undecided. Based on this, the respondents disagreed that socio-economic condition of Ado-Odo rural community was considered in NAPEP's formulation and implementation.

On whether the Ado-Odo Ota rural communities were consulted in the formulation and the implementation of NAPEP, the data show that 81.6 percent disagreed, 8.3 percent agreed while 10 percent is undecided. Based on this, it shows that the representatives of the Ado-Odo Ota rural people were not consulted in the formulation and implementation of NAPEP

The results show that there have been constraints of effective implementation of NAPEP in rural areas in Nigeria.

### Findings

The study reveals that implementation of NAPEP has not impacted positively in the lives of Ado-Odo Ota rural people. However, this study discovers that some programmes were actually carried out by NAPEP but most of them were carried out in the urban centres with the total neglect of the rural areas. The study further reveals that there are constraints of effective implementation of NAPEP in the rural communities in Nigeria. These constraints include: unrealistic goal setting, corruption, political patronage, lack of consideration of socio-political environment and lack of participation of rural communities in NAPEP.

**Unrealistic goal setting** - Public policy making begins with the setting of realizable goals. The setting of goals will give direction and focus to the government on the one hand and the policy implementers on the other. However, when the goals are unrealistic, the policy will eventually fail at implementation stage (**Ijaduola, 2008**). NAPEP's goals looked complicated and unrealistic from the beginning. Take for example. NAPEP was to completely wipe out absolute poverty from Nigeria in 2010. This could not be achieved as absolute poverty level in Nigeria rose to 60.9 percent in 2010.

However, Ugoh, et' al (2009) argue that apart from its renting tricycles to young Nigerians for transport business in the urban and sub-urban areas, there have not been serious and identifiable efforts at empowering the beneficiaries with enduring skills.

**Corruption** – The study indicates that there have been corruption and mismanagement of funds by NAPEP official. Ogboru and Abimiku (2012) explain that corruption which has been seen as a way of life in Nigeria is largely responsible for the persistent poverty situation. Corruption weakens the state and its ability to promote development and social justice.

Corruption and mismanagement of resources were obvious in the implementation of NAPEP. There have been abuse of office by NAPEP officials: It was discovered that NAPEP officials used their influence to approve for themselves directly or through their cronies funds which they used with no intention to repay. It is established that cases of funds approved for certain beneficiaries were diverted to different beneficiaries, thus making it impossible for such funds to be recovered. (Adekoya, 2010).

**Political Patronage** - Lazarus (2010) explains that NAPEP funds were used for politicking as the monies were given out as succor to loyal party members with no plans for recovery. It was a clear case of politicized micro-financing. In fact, during the Key Informant Interview conducted at the local government council at Ota, the woman who is the Head of Communities Development Office of the local government council stated that the only one officer of NAPEP posted to the local government had left when the Action Congress of Nigeria (ACN) party took charge of the local government as against the People Democratic Party (PDP) government that was previously in power. This is a clear case of political patronage. It is also discovered that NAPEP was not rectified by the legislature it was an executive council arrangement to serve the ruling party. This has made it difficult for the legislature to carry out an oversight function on the programme (Lazarus, 2010).

**Lack of Consideration of Socio-Political Environment** – One of the constraints militating against policy making and implementation in Nigeria identified in this study is the lack of consideration of socio-political economic environment before policies are packaged for implementation. In Nigeria, policies are never repackaged to meet the need of the target beneficiary. Poverty programmes are not locally based (Ajulor, 2012). They are made and decided upon by experts in Abuja. They then sent to state and local governments to implement without looking at the peculiarity of the state and local government. (Hashim 2002) explains that poverty reduction programme established in Abuja is only replicated at the state level without considering the local condition that caused poverty. He argues further that every state has its own peculiar problems. He gave example that in Jigawa state where the people are interested on how to solve problem of educational disadvantage. This may not be the priority of Ekiti state that has already so many graduates and professors.

**Lack of Participation of Rural Communities in NAPEP** - The study reveals that Ado-Odo Ota rural communities were not involved in the decision making of NAPEP either at the level of policy formulation or implementation. Therefore, the level of participation by Ado-Odo Ota rural people in NAPEP has been very low if not at zero level. This confirmed that the rural populace which constitutes the majority of the Nigerian poor could not make input into the policy making and implementation that will affect their lives. It is not surprising as this confirmed the authoritarian, imposition and top-down nature of Nigerian policy making and implementation (Eze, 2003). However, Oshita (2008) explains that the problem of poor policy implementation in Nigeria is due to non involvement of the target beneficiary in the policy making and implementation. The public policy processes in Nigeria continued to be top-down in conception, design, formulation, implementation and evaluation. This undermined citizen participation as an essential part of the public policy development process.

## **Conclusion**

This study has been able to establish that successive governments in Nigeria for too long have neglected rural communities. There is very little evidence to suggest that past policies of government made significant impact in terms of bringing about improved quality of life for the over 73 percent Nigerians living in the rural communities. Policy implementation fails in developing countries like Nigeria because the formulation of the policy in the first place does not produce the best alternative designed to suit socio-political reality of the people to which the policy is targeted. The target beneficiaries are not involved at the formulation stage in order for them to have an input in what affects their lives. As a result of this, there has been no sense of belonging and commitment by the rural communities towards government policies.

It should also be noted that policies are often forced on people and since the people are not consulted for their input into the policies, they in turn distance themselves from the government's genuine programme meant to improve their lives and can even go as far as sabotaging such programme. The non inclusion of the target beneficiary in the formulation and implementation of policy have serious Implication on policy failures in Nigeria.

It is unfortunate that a programme such as NAPEP that is meant to harmonize all poverty reduction programmes in Nigeria did not have the input from the target beneficiaries and there was no legislative approval. The Nigerian National Assembly has alleged that NAPEP is an executive arrangement meant to serve the interest of the ruling party alone. As a result of this it has been difficult to perform oversight function. It is very clear why there have been high level of corruption and mismanagement of funds in NAPEP and alleged political patronage. The change of policy making and implementation from the top-down command structure to more consultative and participatory approach will definitely improve the quality of policy implementation in Nigeria and enhance transparency and accountability. Effective, efficient and people oriented policy making and implementation will reduce poverty and make lives more meaningful to Nigerians especially the teeming poor population in the rural areas.

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#### Appendix: Distributions of Questionnaire in Research Locations

S/No.	Rural communities, Local Govt. Council & NAPEP's Officials.	Estimated Population	Sample	Number of questionnaires distributed	Number of questionnaires returned
1	Erintedo	350	35	35	31
2	Ishagatedo	400	40	40	34
3	Ilori	450	45	45	25
4	Ilasa	300	30	30	29
5	Osuke	500	50	50	34
6	Abule Imota	500	50	50	33
7	Ewutagbe	350	35	35	28
8	Igbo-Odo	400	40	40	27
9	Ejila- Awori	600	60	35	26
10	Ipatira	350	35	60	32
11	Ajibowo-Ota	400	40	40	27
12	Oke- Ore	300	30	30	26
13	Owode- Yewa	400	40	40	32
14	Olaoparun	400	40	40	33
15	Iloro- Ado-Odo	300	30	30	28
16	Idi- Ota	350	35	35	29
17	Aromokala	450	45	45	31
18	Ijomu	300	30	30	30
19	Ibiri	500	50	50	32
20	Ajagboju	350	35	35	33
21	Ejigbo	450	45	45	32
22	Ere	500	50	50	26
24	CDAs' Members	150	15	15	10
23	Local Govt. Council, Ota.	500	50	50	35
24	NAPEP's Officials at Federal Secretariat, Ogun State.	50	10	10	7
	Total	9,600	960	960	720

Source: Field Survey, May – September, 2011.

## WHEN GOOD INTENTIONS GO BAD: CONSIDERING THE AMENDMENT OF A TRUST DEED WITH GREAT CARE

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### Abstract:

During the past decade, the use of the trust instrument forms an integral part of most estate planning structures. This paper addresses the following key question: what are the consequences if the amendment of a trust deed is declared invalid? This research incorporates current legal principles and reviews recent case law. Discussion emphasise that current parties to a trust need to be aware of the drafting, decisions and planning of any amendment of a trust deed. In conclusion the consequences based on recent decisions highlights the need to be aware of the rights of trust beneficiaries, whether the amendment of an *inter vivos* trust deed is possible without the consent of beneficiaries and provides clarity on issues regarding trust administration.

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**Key Words:** Amendment, Trust beneficiaries, Trust deed, Trustees.

### Introduction:

*“Men trip not on mountains they trip on molehills.”*<sup>182</sup>

Many research studies have focused on the use of the trust entity in current South African trust law. Today, the flexibility of a trust contributes greatly to the popularity and the many purposes for which it is being used. Currently the law of trusts is no longer confined to the traditional common law principles that use to exist. For the sake of clarity, South African courts have over the last decade become obliged to give effect to the fiduciary duties of trustees, trust administration and the fullest protection to the rights of trust beneficiaries.

This paper focus on a specific topic and gives voice to the unforeseen consequences of a seemingly “mere” act - the amendment of a trust deed. A trust is established by means of a trust deed which serves as its founding document.<sup>183</sup> This takes on the form of a contractual arrangement between the founder<sup>184</sup> and the trustees.<sup>185</sup> With this in mind, although a trust is a very useful instrument, certain amendments to a trust deed are required from time to time. A trust deed can be amended by the founder and trustees by means of an amendment agreement in which the proposed amendments to the trust deed are contained and again submitted to the Master of the High Court. It can also be amended in accordance with a variation clause in the trust deed or by way of a court application.

Unfortunately there is a newly founded risk now faced by thousands of South African amended trusts of being set aside by the courts as invalid, especially in cases which involve trust beneficiaries.<sup>186</sup> With particular focus on case law, it emphasises the relevance of the proper knowledge of trust law principles in current South African law.

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<sup>182</sup> Chinese proverb.

<sup>183</sup> The essential elements of a trust should be identified in this document which includes the founder, trustees, beneficiaries and trust assets. The founder must have the intention of creating a trust by way of handing assets to the trustees to be administered for the benefit of the trust beneficiaries. According to legislation all trust deeds must be lodged and registered with the relevant Master of the High Court.

<sup>184</sup> The founder can also be referred to as “the creator of the trust”, “donor” or “settlor”.

<sup>185</sup> Trustees must hold and administer property for the benefit of beneficiaries and are the office-bearers of a trust as defined in section 1 of the *Trust Property Control Act 57* of 1988.

<sup>186</sup> Beneficiaries are those in whose favour a trust is created. It must be a defined or reasonably identifiable group. A general distinction can be drawn between income and capital trust beneficiaries. The former benefit from the income or proceeds generated by the trust and whereas the latter benefit from the trust property or capital, usually upon termination of the trust.

## Discussion:

The idea of a trust is a universal concept. Through the influence of English law<sup>187</sup> and Roman-Dutch law, current legislation<sup>188</sup> and refinement of certain rules by our South African courts, our trust law has developed into a vibrant, challenging and well-respected law of trusts. Critical to this paper, is the necessity to ascertain basic trust law concepts and relevant information concerning the extent and nature of the trust, especially with reference to the rights of trust beneficiaries.<sup>189</sup> In principle, trusts are a simple concept whereby a trust is the arrangement through which the control and ownership in property of someone's assets (the founder) is transferred<sup>190</sup> to a group of people (referred to as the trustees) to look after and use to benefit the beneficiaries. These transferred assets fall under the protection of the trust and fall outside the scope of a founder and the appointed trustee's estates. The trust assets can therefore not be used in settlement of any claims against the estates of a founder or trustees. Consequently, with this established protection mechanisms in mind, it confirms the purpose for establishing a trust. A trust is a versatile entity that can be used (among others) – to safeguard a family's assets and wealth against risks, protection against creditors, business activities, control wealth distribution to beneficiaries, reduce potential estate duty, minimize other tax liabilities or even for a charitable purpose.<sup>191</sup>

In 2011 one of the most significant developments tripped South African trust law off the steady "amendment" path. The following set of facts relating to the validity of the amendment to a trust deed emerged. The Supreme Court of Appeal handed down judgment in *Potgieter and Another v Potgieter NO and Others*.<sup>192</sup> The main concern which evidently needs addressing was the fact whether the amendments of the original trust deed were valid.

A family trust was established with two capital beneficiaries, the children of the founder, namely A and B. After divorcing their mother, the founder remarried a woman, Z, with two children of her own, X and Y. These two children and their mother were then included by means of *an amendment of the original trust deed*. This amendment were entered into between the founder and the appointed trustees, which also includes the new wife, Z.

Although there were many amendments, the main amendment concerned extension towards the beneficiaries.<sup>193</sup> Unfortunately A and B were not consulted on this amendment and did not

<sup>187</sup> Hayton, David. *The Law of Trusts*. Sweet and Maxwell: London, 2002 at 6-8; Cameron, Edwin, Marius De Waal, and Basil Wunsh. *Honoré's South African Law of Trusts*. Durban: Juta, 2007 at 21-27; Du Toit, Francois. *South African Trust Law: Principles and Practice*. Durban: Butterworths, 2002 at 21-25; *Estate Kemp v MacDonald's Trustee* 1915 AD 491.

<sup>188</sup> *Trust Property Control Act* 57 of 1988.

<sup>189</sup> Unfortunately current legislation does not define the word "beneficiary". Du Toit, Francois. *South African Trust Law: Principles and Practice*. Durban: Butterworths, 2002 at 108. As stated by Du Toit the origin, nature en extent of the rights of beneficiaries are determined by the imposition of a fiduciary office on the trust's trustee, the kind of trust concerned as well as the provisions of the trust deed itself. Beneficiaries can however enjoy a variety of rights than can be classified as: "subjective rights", "vested rights" and "contingent rights". For purposes of this paper these rights and the fiduciary duties of trustees will not be discussed in further detail. For further discussions see Olivier, P.A., S. Strydom and G.P.J. van den Berg. *Trust Law and Practice*. Durban: LexisNexis, 2011 at 4-23 and Geach, Walter, and Jeremy Yeats. *Trusts: Law and Practice*. Durban: Juta, 2007 at 113-133 and further reference to *Gross v Pentz* 1996 4 SA 617 (A).

<sup>190</sup> Transferred by means of made over or bequeathed. A trust *mortis causa* is created by way of a will. Du Toit, Francois. *South African Trust Law: Principles and Practice*. Durban: Butterworths, 2002 at 108. For purposes of this paper there will be only made reference of the *inter vivos* trust that is created and becomes effective whilst the founder is still alive (a trust created by a *stipulation alteri* – a contract between the founder (*stipulans*) and a trustee (*promittens*) for the benefit of a beneficiary (the third party). Olivier, P.A., S. Strydom and G.P.J. van den Berg. *Trust Law and Practice*. Durban: LexisNexis, 2011 at 5(3)-5(5) and Hahlo.H.R. *The Trust in South African Law*. South African Law Journal, 1961 at 195 and 202. With further reference to *CIR v Estate Crewe* 1943 AD 656; *Crookes v Watson* 1956 1 SA 277 (A); *Joubert v Van Rensburg* 2001 1 SA 753 (W); *Braun v Blann and Botha* 1984 2 SA 850 (A) and *Kropman v Nysschen* 1999 2 SA 567 (T).

<sup>191</sup> See some relevant case law: *Parker NO v Land and Agricultural Bank of SA* 2003 1 All SA 258 (T); *Nedbank Limited v Thorpe* 2008 JDR 1237 (N); *Peterson and Another NNO v Claassen and Others* 2006 5 SA 191 (C); *Ehrlich v Rand Cold Storage and Supply Company Ltd* 1912 TPD 170; *Goodricke and Son (Pty) Ltd v Registrar of Deeds (Natal)* 1974 1 SA 404 (N) and *CIR v Pretorius* 1986 1 SA 238 (A).

<sup>192</sup> *Potgieter and Another v Potgieter NO and Others* 2001 JOL 27782 (SCA). See also Olivier, P.A., S. Strydom and G.P.J. van den Berg. *Trust Law and Practice*. Durban: LexisNexis, 2011 at 2(30)-2(30)2.

<sup>193</sup> *Potgieter and Another v Potgieter NO and Others* 2001 JOL 27782 (SCA) par 27. In the main the children A and B were no longer the only capital beneficiaries of the trust as they were reduced to members of a class of

consent to the changes. In the meantime the founder changed his will to the effect that apart from some legacies, the residue of his estate was bequeathed to the trust (*now amended*). It was clear that it was his intention that A, B and his new wife and her children might also potentially benefit from the trust. The founder subsequently died.

A and B contested the amendment of the trust deed (as usual there was a dispute about money held in trust) on the grounds that the trust deed could only be changed with their consent as current capital beneficiaries. In addition the current trustees, including Z, argued that the amendments were made before beneficiaries A and B had accepted any benefits conferred upon them. Therefore the amendment of the trust deed was valid.

An *inter vivos* trust (as in this instance) is based on the law of contract and more specifically as a contract for the benefit of a third party.<sup>194</sup> It is exactly with this in mind that any variation of the terms of an *inter vivos* trust must therefore be done in terms of the law of contract and requires at least the consent of the founder and the trustees. Unless the beneficiaries have accepted the benefits stipulated for them, an *inter vivos* trust can be varied by agreement only between the founder and the trustees. The importance was to establish whether the beneficiaries have acquired any form of a right, whether they have accepted any benefits conferred upon them and if their consent were needed. However, it is accepted that the natural guardian of minors can indicate acceptance of the benefits conferred upon them by the trust deed on their behalf. In drafting the trust deed, the founder (the father), indicate at that stage as natural guardian of his then “minor children” acceptance of the benefits conferred upon them.<sup>195</sup>

The court *a quo* reasoned that the amendment was invalid based on various technical reasons. Surprisingly the learned judge, with the unusual intervening, concludes that the enforcement of the trust deed in its original terms would be in conflict with the deceased’s intention and would therefore effectively exclude X, Y and Z from any benefit deriving from the deceased’s estate.<sup>196</sup> An order was granted which according to the court would give effect to the *real intention of the deceased*. A and B were awarded one-fifth each, while the other potential beneficiaries, X, Y and Z retained their rights in terms of the amended trust deed in respect of the remaining trust assets.

This leads to the appeal to the Supreme Court of Appeal. If the amendment to the deed was declared invalid, the new spouse and her children will not be able to benefit in terms of the trust deed. Therefore, if A and B could convince the court on the facts of the case that the variation was invalid, despite the intention of the deceased, only they were entitled to the trust assets.

On appeal the court necessitated that the *stipilatio alteri* finds application and the applicable legal principles are well settled. These principles were formulated:<sup>197</sup>

“A trust deed executed by a founder and trustees of a trust for the benefit of others is akin to a contract for the benefit of a third party, also known as a *stipulation alteri*. In consequence, the founder and trustee can vary or even cancel the agreement between them *before the third party (beneficiary) has accepted the benefits* conferred on him or her by the trust deed. But once the beneficiary has accepted those benefits, the trust deed can only be varied with his or her consent.” (own emphasis).

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potential beneficiaries; the trustees were afforded absolute discretion regarding the selection of a beneficiary and the time the rights would vest in a beneficiary, if at all (this can have the possible effect that there might be no allocation to A and B).

<sup>194</sup> As already mentioned - the current legal position with further reference to *CIR v Estate Crewe* 1943 AD 656; *Crookes v Watson* 1956 1 SA 277 (A); *Hofer v Kevitt* 1998 1 SA 382 (A) and *Doyle v Board of Executors* 1999 2 SA 805 (C). Olivier, P.A., S. Strydom and G.P.J. van den Berg. *Trust Law and Practice*. Durban: LexisNexis, 2011 at 2(3)2 – 2(30)4.

<sup>195</sup> *Potgieter and Another v Potgieter NO and Others* 2001 JOL 27782 (SCA) par 19 and 23. The argument was that the benefits conferred on them in the original trust deed were accepted by the deceased on their behalf as reflected in the preamble of the trust deed itself and minutes of a meeting.

<sup>196</sup> *Potgieter and Another v Potgieter NO and Others* 2001 JOL 27782 (SCA) par 12-16.

<sup>197</sup> *Potgieter and Another v Potgieter NO and Others* 2001 JOL 27782 (SCA) par 18.

The Supreme Court of Appeal placed its emphasis on the basic fundamentals of the current law of contract. The *status quo* is being upheld: the contractual arrangement constitutive of a trust *inter vivos* is to be regarded as a *stipulatio alteri*. The outcome of the judgment is that once beneficiaries have accepted any benefits, the trust deed can only be varied with his or her consent as they have now acquired rights. The judgment had been delivered by Brand JA:<sup>198</sup>

“I do not think it can be said that at the time of the variation agreement, the appellants enjoyed no vested rights to either the income or the capital of the trust. They were clearly contingent beneficiaries only. *But that does not render their acceptance of these contingent benefits irrelevant.....* The import of acceptance by the beneficiary is that it creates a right for the beneficiary pursuant to the trust deed, while no such right existed before. The reason why, *after that acceptance, the trust deed cannot be varied without the beneficiary’s consent*, is that the law seeks to protect the right thus created for the first time. In this light, the question whether the right thus created is enforceable, conditional or contingent should make no difference. The only relevant consideration is whether the right is worthy of protection, and I have no doubt that it is” (own emphasis).

The amendment of the original trust deed under these circumstances were declared invalid. The amended trust deed was therefore void and consequently unenforceable.

Upon taking the above into consideration, the probable good intentions by the founder, especially when drafting his will to provide for *all* his loved ones by using the amended trust, turned bad. The reason for this caution is that it is imperative that when using a trust, one needs a proper understanding of the consequences of basic trust law principles.

### Conclusion:

This again highlights some home ground rules that are followed in our current common law with specific reference to the amendment of a trust deed. It is settled practice in South African trust law that a trust can be amended subject to what the court’s powers are in terms of the current legislation, common law rules as well as what the trust deed itself stipulates. The point to be understood is that it is apparent that at present, many trusts in South Africa are shadowed by possible “small” amendments previously made.

Undoubtedly, this is likely to be only the tip of the iceberg of what is to come. A new era in trust law is daunting upon us as knowledgeable parties know to benefit from these circumstances, poor trust administration and the lack of basic trust law principles will have far reaching effects.

Even though the *Potgieter*<sup>199</sup>-case has succeeded in providing clarity sought, a number of problematic issues still exist. The uncertainty leads to the difficulty now faced by those who use trusts that had been amended.<sup>200</sup> In some instances there are currently no clarity or relevant documentation to support or verify if any beneficiaries already received or accepted any benefits, or if there is any documentary proof of the necessary consent for any amendments. Should the facts fit the basic principle of consent, a trust in this instance is not void. If it can be proved that there has been acceptance of any kind, any amendment without consent may be declared void. As a result, taking into account the afore-mentioning ruling, future courts will now be obliged to follow this decision.

Problematically though is that in practice it is impossible to determine how many amended trust deeds (currently active) might be invalid. The recommendation is that trustees urgently need to verify any amendments and to get hold of such trust deeds. They need to be certain of the current amendment clauses and obtain any relevant documentation or verify any potential activity that might indicate acceptance of any kind. It is undoubtedly necessary for current trustees as from now on to verify the rights of beneficiaries, to make sure whether the founder is still alive, to be certain of the

<sup>198</sup> *Potgieter and Another v Potgieter NO and Others* 2001 JOL 27782 (SCA) par 28.

<sup>199</sup> *Potgieter and Another v Potgieter NO and Others* 2001 JOL 27782 (SCA).

<sup>200</sup> The possibility is that an amended trust could have been registered more than a decade ago with the eventuality that all transactions subsequent to this period could be void and consequently unenforceable.

content of current amendment clauses and keep all relevant documents and minutes of meetings up to date. For as the saying goes:

“*An ant may well destroy a whole dam*”.<sup>201</sup>

To prevent further damage - trustees must get to work.

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- Potgieter and Another v Potgieter NO and Others* 2001 JOL 27782 (SCA).

### Legislation:

- Trust Property Control Act 57 of 1988*.

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<sup>201</sup> Chinese proverb.

## FRAUD: A BED-ROCK OF DISHONESTY-WORLD VIEW

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### **Abstract:**

**Purpose:** The contention of this study is to highlight the magnitude effect of fraud perpetration (world over) on the parental sovereign nation/organization as the victim of circumstance, to determine the effects on stakeholders value and the general public, to recommend a lasting solution that can aid in curbing further attempts by the fraud managers, that will put them in a tight corner against any form of dishonest act.

**Methodology/Approach:** Data collection was based on periodicals, Newspapers and CBN guidelines. A close contact with the affected institutions/parastatals were completely non and void due to inaccessibility to the stakeholders of the institutions. Structured questionnaire was disseminated to the highly interested public, numbering one hundred and twenty (120), who were keenly absorbed in the team of research topic. One-line discussions were applied to closely related friends and well-known individuals on the subject matter at length. Literature review was empirically utilized in the study.

**Findings:** Fraud, absolutely is the bed rock of dishonesty, which begets, unpatriotism. This category of people dismiss morality as unnecessary pre-requisite for virtuous life. To them the end justifies the means, they are usually unscrupulous and opportunist in their endeavor to amass wealth. Wealth by all practical wisdom is the subject matter. In the “Banana Government”, they do not fear evil nor respect the legal framework of the sovereign system in which they live and operate. They dominate the **corridor of power**. They are the “**Killer searching for the killer**”. They operate in an environment of unequal instability and dubious to the core. To them the economy can breed to death and the masses of the public can go to hell.

**Originality/Value:** This paper virtually highlights the down-trend of an economy in the threshold of debauched society, battered by evils of dishonest and unpatriotic individuals in the public sector financial institutions as well as governmental sector of the economy. This paper under estimate the evils perpetrated by these “**Power lords**” in the corridor of power, in which the scorching effect of their act is being perceived by the poor masses seeking for a better governance of the day.

**Research Implication:** Data procurement through the source evidence has been the main stumbling block in this research work, therefore, the researcher decided to compliment the data collection through the opinion of the closely related insiders and the public responses on the subject matter. Financial constraint, apart from limitations in data procurement has equally influenced the progress of the work adversely.

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**Key Words:** Corridor of power, unpatriotism, Bedrock of dishonesty, “Banana Government”, “Killer searching for the killer”, evils, legal framework.

### **Introduction:**

Fraud is said to be the bedrock of dishonesty. According to “Oxford Advanced Learner’s Dictionary of Current English”, “fraud is a criminal deception, using false representation to gain unjust advantage. In advanced nations, fraud is considered as a criminal act liable to severe adverse reciprocation from the judicial authority. In 3<sup>rd</sup> world Nations, the response to fraud seems to be in nutshell, though, it actually recognize fraud as crime which it promoted through the promulgation of decrees on fraud and other fraud related matters such as the recovery of public fund Decree 18, 1994, Bank and money laundering Decree 3, 1995, Federal intelligence investigation Bureau (FIIB), Economic and Financial Crime Commission (EFCC). It has been realized by the public that these

fraud prevention institutions promulgated by the government of the day are illusionary, “**Post-Office-Socialism**” and their efforts towards curbing fraud has been a “**window dressing**” challenge.

According to Adekanye (1993), fraud is an act of falsifying documents as a means of inflicting injury to another person, the government and the public in general.

### **World View:**

Fraud is a choice of dilemma, and the man’s history from inception to date has been in eroding trend as a result of dishonesty in his endeavor to emerge wealth and perpetrate injustice and inflict injury to his fellow mankind. History cannot be sacrificed for what it is. A specific reminder of time are cases pertinent to fraud in various magnitude in the history of man.

- **Leeds Estate Building and Investment Co Versus Shepherd (1887)**

**Facts of the Case:** The company was formed in 1862 for the purpose of dealing in loans and lending money on mortgages. The Articles of Association of the company provided that directors were to get bonus in proportion to the dividends paid to the shareholders and that both dividends and bonuses were not to be paid except out of profits earned by the company. Articles further provided that the auditor was to state whether in his opinion the B/S was full and fair balance sheet properly drawn up so as to exhibit a true and correct view of the state of the company’s affairs.

Company went into liquidation since it could not earn any profit during the whole of its existence except in one year (1876). Directors by crediting certain false and fictitious items of income to the profit and loss account, not only showed that the company made profits but declared dividends to the shareholders and bonus to the directors. They did not care to see the Articles of Association and certified the payment of dividend and bonus out of capital to be correct. They had also certified the false and misleading balance sheet of the company.

Company brought an action against its directors, manger and auditor for negligence in certifying payment of dividends and bonuses which were *ultra veres* the provisions of the Articles of Association. It was also alleged that the auditor was liable for gross negligence because he had omitted to examine the Articles of Association of the company. Auditor tried to defend himself by pleading that:

- He was unaware of the existence of the Articles of Association and that;
- The action was time barred by the Law of Limitation.

Auditor was held liable to pay damages. His first defence was rejected by the court and it was held that ignorance of the provisions of Articles of Association will not relieve an auditor from his responsibility under the statute.

In the course of his judgment, the presiding judge, Sterling J. said, “the auditors duty is not to confine himself merely to verify the arithmetical accuracy of the B/S, but to enquire into its substantial accuracy, and to ascertain whether it is properly drawn up so as to contain a true and correct representation of the state of the company’s affairs. It is no excuse that the auditor had not seen the Articles, when he knew of their existence”.

So far as the 2<sup>nd</sup> point of defence was concerned, some relief was granted to the auditor and the court decided that the statute of limitation operated in favor of the auditor, so that his liability was limited to the dividends paid within six years of the commencement of action. In this way, an auditor, who was found guilty of negligence was allowed the benefits of the statute of limitation.

### **Conclusion:**

An auditor who fails to satisfy himself that transactions are ultra-vires, the auditor is negligent. He shall be held liable, if he fails to report the facts to the members in all those cases where the balance sheet does not disclose the true position. (**Misfeasance**)

- **The Irish Woolen Co. Ltd Versus Tyson and other (1900)**

**Facts of the Case:** The accounts of the company were falsified:

- By over valuing stock in trade and book debts and;
- By understating the trade liabilities to the extent that the book showed a false profit of **£4095**. This amounted to payment of dividend out of capital. Auditors were charged for negligence in the

performance of their work. It was also pointed out that the auditor got most of the work done by his assistants and cared to do very little work himself.

Company brought about this suit against the auditors holding them liable for negligence as he was not able to detect the frauds pointed out. Court did not hold the auditor liable for any charge except that of the understatement of the liabilities. It held that it was not part of an auditor's duty to take stock. He has acted quite competently in accepting the certifications of the responsible officers of the firm with regard to valuation of stock. There was nothing to arouse his suspicion (**Kingston Cotton Mills Company Case**). Moreover, an auditor is entitled to get his work done by instants. Court, thus, did not find any ground for holding the auditor liable for negligence. However, with regard to the third charge of understatement of liabilities, auditor was held liable for negligence in the performance of his duties for he did not make an attempt to get statement of accounts from the creditors. Had he done so and compared the creditors' statements with the ledger balances he would have surely detected the fraud. Court held the auditor liable and asked him to pay damages to the company.

**The presiding judge** – Holmes, L.H. in the course of his judgment observed: Mr. Kavans seems to have done little of the actual work himself and the evidence varies as to the nature of the supervision which he gave to it: the investigation of the books he deputed to his assistants and it must be on the faith of their representation that he certified the balance sheets. I presume this course is not unusual and that an accountant with a large business is not supposed to do everything himself. The auditor is bound to give reasonable care and skill but this can also be exercised by his deputy ..... there is no doubt that both supervision and carrying over of invoices would have been detected if the auditor had called for the creditors' statements of account upon which payment was ordered, and compared them with the ledger.

- **Author E. Green and Co. Versus the Central Advance and Discount Corporation Ltd (1920) United Kingdom**

**Facts of the Case:** The defendant company had been carrying on the business of money – lending. The plaintiff (auditors) had been conducting audit of the accounts of the company for many years in the past. Auditor had accepted the figures of bad debts as supplied by the Board of Directors, who had considerably under-estimated the amount. Out of a total of about **£19,000** of the irrecoverable debts many of them had become statute barred but even then, they were not written off as bad.

The suit was filed by the auditors in order to claim the fees due to them. But the defendant company made a counter-claim for damages caused to it as a result of the negligence of the auditors in not pointing out the time barred debts contained in the schedule of debtors. This resulted in inflating the profits and consequent overpayment of commission to the Managing Director, calculated on the basis of net profits. The defence of the plaintiff to the counter-claim of the defendant was that although some of the debts had become time barred, they did not point out this fact as from past experience they had found that the customers had been paying even the time barred debts. The defence of the auditors was not considered to be satisfactory by the court and damages were awarded to the company. It was pointed out that on no occasion did the auditor refer to the state of the book debts in his report to the members. Auditors are liable for negligence in performing their duties in not pointing out to the shareholders regarding the insufficient provision for bad and doubtful debts.

**Justice: Sherman observed** that if there were circumstances which seemed to call for enquiry, the auditor must make the proper enquiry, and if he did not take the proper steps to have the matter examined, he did not fulfill the duty he owed to the company as one of its officers. In the course of his judgment, his lordship remarked:

“The duty of the auditors was quite clear as to statutory duties. They had to make a report, and state whether in their opinion the balance sheet was properly drawn up so as to afford a true account or statement of the company's affairs. It was said by the company and he acceded to the view that the auditors belonged to a profession, a respected profession, that they were not only to be honest, but were bound to exercise an extraordinary skill, but there was a standard ..... The case for the auditor was that from time to time there were meetings of the directors to consider a certain list of bad

debts which was prepared by the managing director.....and that they were entitled to rely upon the directors and that they had no reason to suspect Mr. Foot (Manager of the company). The auditors said that when the list of bad debts came back to them to certify the balance sheet, Mr. Foot had struck out some of the people they had put in respect of bad debts.....

“This satisfied my mind that the auditors deliberately concealed that from the shareholders which they had communicated to the directors. It would be difficult to say this was not a breach of duty. Auditors must not be made liable for not tracking out ingenious and carefully laid scheme of fraud, when there is nothing to arouse their suspicion and when those frauds are perpetrated by tried servants of the company and are undetected for years by the directors. So to hold would make the position of an auditor intolerable”.

- **Hudson Versus Official Liquidator, Debradum Mussourie Electric Tramway Co. Ltd. (1929) India**

**Facts of the Case:** The Board of Directors had misappropriated the funds of the company. Auditors did not care to examine the relevant documents and therefore, failed to discover misappropriations. He did not call for necessary explanations in those cases where his suspicion was aroused. He passed some of the illegal payments as correct. On a suit being brought by the official liquidator, the auditor was held liable for willful misconduct and default. In the course of judgment the court observed:

“Under the Act, if the auditor pass over illegal payment without demanding explanations and the facts disclose that there was deliberate abstention from performing plain and manifest acts and there was absolute duty cast upon them to enquire into the illegal payments and think over the real meaning of dubious transactions, they are guilty of misfeasance unless there is anything to the contrary in the Article of Association”. Held that if illegal payments are passed over by the auditors without enquiry or asking for explanation, auditors shall be liable for misfeasance.

- **Rex Versus Kysant and others – 1931**

**OR**

- **Royal Mail Steam Packet Company Case**

**Facts of the Case:** Royal mail steam Packet Company was a chartered company. This company continued to earn considerable profits up to 1920 but afterwards the earnings fell away considerably. Directors tried to conceal the poor earnings of the company by crediting a number of special items, which related to the previous years to be profit and loss account of the current year. These special items related to “Reserves for taxation” which was no longer required and the distribution of the accumulated profits of the subsidiaries.

Further, the Co. had been drawing upon its secret reserves from 1921 to 1927. All these special credits had been used by the Co. in declaring dividends both on preference and ordinary share capital. All losses were thus concealed by utilizing the secret reserves. Shareholders were kept in the dark. They were given a false picture of the company (window dressing mechanism). They were made to believe that the Co. was running profitably.

Proceedings for the criminal prosecution of the chairman of the Board of Directors (Lord Kysant) and auditor (Mr. Moreland) were instituted for issuing false annual reports to the shareholders in order to deceive them. From the side of the crown it was contended that the action of the chairman of the Board of Directors and the auditor constituted “a deliberate false representation to the shareholders that the Co. was making profits, when in fact, it was making trading loss”. Auditors were criminally prosecuted for aiding and abetting Lord Kysant in publishing certain annual reports of the Co., knowing them to be false, and that such annual reports concealed from the shareholders the true position of the company, with intent to deceive.

The contention of the auditor was that he need not disclose the fact of the utilization of the secret reserve in order to augment the profits of the company during its poor years. Secret reserves are created just for that they may be utilized in lean years. Had he disclosed the fact of the utilization of secret reserves, the very objective of creating secret reserves would have been frustrated.

Both the accused were acquitted of their criminal liability. However, auditor, who had committed a breach of duty in connection with the accounts of the company, was held liable under civil liabilities to pay damages for the dividends which were paid out of capital and Lord Kylsant was found guilty and convicted of a separate charge of publishing a false prospectus for issue of fresh debenture stock.

The judgment given in this case has been very important since it tried to remove all doubts about the delicate position of the auditor with regard to secret reserves. **Justice Wright** in the course of his judgment observed:

“We have heard a great deal about the keeping of secret reserves, and heard a great deal about the commercial troubles, which may flow from that practice.... But there may be very great evils if those who have the control and management of the companies and who control and manage companies for the benefit of the shareholders who entrust their moneys to companies, have very large portions of the company’s assets left in the secret disposition of the managing authority ..... If it is a practice which is being followed .....by many concerns of the highest standing. On the other hand, it may be the subject of almost intolerable abuse. Such a system may be used to cover up negligences, irregularities and almost breach of faith... There may be some justification for the maintenance of an undisclosed or secret serve, if the fact that there was such a reserve, was clearly specified some where in the report so that shareholders could know...”

“The law does not impose an impossible burden on auditors, it does not make them insurers, it does not require of them skill and vigilance which is beyond their power; but it does require them to report...”

“They (the Auditors) have to give certificates as to ...the balance sheet. Now if the account on which dividends were being paid, or ...the expenses were being met, were being fed by undisclosed reserves, it seemed very difficult to see how an Auditor could discharge his duty of giving a true and correct view of the state of the company’s affairs without drawing attention to that fact which was vitally important”.

“An Auditor is not connected with questions of policy, and it is not for him to say whether a dividend is properly or improperly declared, but, if he sees in the accounts there is something to which he ought to draw the attention of the shareholders, it is his duty to do so, and either he should not sign the certificate at all or he should sign it with some qualifications such as the circumstance require”.

“...A very heavy or a very long protracted utilization of secret reserves, in order to keep the company going, is a serious matter, which quite apart from anything, I have said about the general law, ought to be disclosed, on any view of the position, of the company.”

- **Armitage Versus Brewer and Knott (1932)**

**Facts of the Case:** The company had only one chief clerk **Miss. Harwood**, who was in charge of all books, vouchers, wages and other documents. By misusing her position, she had embezzled large sums of money by misappropriating petty cash and manipulating wage sheets. Company had appointed auditors to conduct continuous and detailed audit of the books. They were charged of negligence by the company because they had failed to exercise reasonable care and skill in examining wages sheets. They did not conduct detailed audit.

Auditors tried to defend themselves by pleading that the frauds could not have been detected by the exercise of reasonable care and skill. But the court rejected the defense of the auditors and held them liable for the damages caused to the company due to the embezzlement of money by Miss Harwood because it was thought that had the auditors carried a detailed checking of the accounts and books, the work for which they were employed, they would have surely detected the fraud. There was an undertaking on the part of the auditors to audit the books fairly, completely and the circumstances of the fraud were such that the auditor should have been put upon enquiry. In the course of his judgment, the judge observed:

“The documents at the beginning set out that the defendants would vouch all payments with receipts in petty cash, check calculations of all wage sheets, check totals of wage sheets into wages book and check weekly totals with other detailed provisions, and **accountants** undertaking duties of that kind could not be heard to excuse themselves on the ground that this or that was a small matter, the undertook rigorous check, and they did so because that was what the client wanted ..... It was

doubtless true that to detect the fraud, minute examination of a large number of documents was required, but that was exactly what the defendants (auditor) undertook to do ..... As to the suggestion that some things were too trivial to notice, auditors differed greatly as to scope and special instructions. A 6s I.d had been altered to 16s. I.d. That was passed in what purported to be a meticulous examination. The most casual inspection would detect the discrepancy on the voucher; both figures were there ..... It was the duty of the auditor to bring that 10s. which was indicative not only of fraud but of forgery, at once to the notice of the principal. That one piece of paper raised a grave suspicion. It was of critical importance. It was by little things like that, forgeries and frauds were found out”.

“It was the duty of auditors to be suspicious, that is what they were there for. If every body was honest and careful there would be no need for auditors.....”

- **The Blue Band Navigation Co. Ltd (Trustee of) Versus Price Waterhouse & Co. (1934) United Kingdom**

**Facts of the Case:** The current account of Mr. Wittal, a director, showed a debit balance of **£25,000** in the books of the company. He tried to conceal this amount by transferring it in the name of some fictitious person. Auditors asked for the reasons of such transfer, but he refused to tell them anything about this transfer on the ground that it was “extremely confidential”. The Auditors without being satisfied, persisted in making enquiries to know the reasons for the transfer, the director was, however, able to satisfy them by giving his own personal guarantee for the debt. But the company, subsequently could not recover anything in respect of this debt.

A suit was brought against the Auditor, charging him of negligence for having passed the debt in the balance sheet without any of his comments. While holding the Auditor not liable for negligence, the court observed:

“Auditors were not negligent in the discharge of their duty in as much as they honestly believed the debt to be a good one, even though such a debt turned out to be a bad one”. “Auditor is neither a guarantor nor insurer. He is not concerned with the wisdom or unwisdom of an investment. He is in no way responsible for the management. His responsibilities are confined to a reasonable precaution, making proper enquiries, coming to an honest opinion and reporting it to the shareholders”.

- **S.P Catterson & Sons Ltd (1937)**

**Facts of the Case:** The cashier of the company carried out certain frauds over a period of four years because of deficient system of internal control. Frauds were detected three years latter before the company went into liquidation. Auditor has been emphasizing upon the Board the need for the reorganization of the office. Auditor continued to work until liquidation of the company even after defalcations were found out.

Liquidator charged the auditor of negligence and misfeasance. It was alleged that because the auditor had not provided for an efficient system of checking counter receipts, the employees had misappropriated the funds of the company.

While holding the auditor not liable for negligence, the judge held:

The primary responsibility for the accounts of a company is with those who are in control of the company, that is to say the directors..... It is for the directors to manage the business in the way in which they think best in all the circumstances of the case, including in the management of the business, the system of accounting to be employed.....

The so-called system..... was also known to the directors and had been known to them for years ..... It is clear that he did not want an alteration in the system .....and.....that...the directors preferred for some reason or another to continue the system as it was ..... I am not prepared to hold...that there was any duty upon the auditors to insist upon that system being changed..... It is not their business to tell the directors how to carry on and conduct their accounting system; they make their recommendations and if they are not acceded to, the responsibility is not the auditors’ responsibility but it is the responsibility of the directors”.

“Auditor is not liable for defalcation by a dishonest employee, if such defalcation is the result of bad system of accounting, to which the attention of the directors had been drawn.

- **Enron-World Tremor 2001 – Neo-Supra-Insider Fraud Scandal**

**Facts of the Case:** Arthur Anderson, one of the world’s five leading accounting firms, was Enron’s auditing firm. This means that Anderson’s job was to check that the company’s accounts were a fair reflection of what was really going on. As such, Anderson should have been the first line of defense in the case of any fraud or deception. Arguments about conflict of interest had been thrown at Anderson since it acted as both auditors and consultants to Enron. The company earned huge fees from its audit work for Enron and from related work as consultates to the same company.

When the scandal broke out, the US government began to investigate the company’s affairs. Anderson’s Chief Auditor for Enron, David Duncan, ordered the shredding of thousands of documents that might prove compromising. That was after the Securities and Exchange Commission (SEC) had ordered an investigation into the speculative actions of Enron.

Duncan said he was acting on an e-mail from Nancy Temple, a layer at Anderson, but Temple denied giving such advice.

While Anderson fired Duncan, its Chief executive officer, Joseph Bernardino, insisted that the firm did not act improperly and could not have detected fraud. Bernardino conceded that an error of judgment was made in shredding documents, but he still protected Anderson’s innocence.

**Credit Rating Agencies:** Credit rating agencies like Moody’s, standard and Poor’s and Fitch IBCA, whose main duty is to provide guidance to investors on a borrowers’ creditworthiness ie inform investors how risky buying a company’s bond might be, failed to spot any problems with Enron until the company was nearly bankrupt, only downgrading its bonds on 28 Nov. 2001.

Enron had been facing dreadful financial tremor since Oct and Nov. 2001, but rating agencies only downgraded its bonds to “junk” status on Nov. 28. 2001. This caused critics to wonder if they (rating agencies) were doing their jobs correctly.

**Investment Banks:** Several investment banks were involved in Enron’s collapse. Credit Suisse First Boston (CSFB) played a central role in creating the controversial partnerships that Enron used to hold billions of dollars of unprofitable assets and that eventually contributed to its bankruptcy. Enron depended heavily on a team within CSFB, known as the “**Structured Product Group**”, to engineer the partnerships. The team worked closely with Andrew Fastow, Enron’s ex-chief financial officer, and his deputies to develop partnerships that shielded unprofitable Enron assets. CSFB devised three partnerships known as Osprey, Marlin and Firefly, which held a total of \$4 billion in assets. The team was part of US firm Donaldson Lufkin & Jenrette (DLJ), which merged with CSFB in 2000.

CSFB has defended its role in advising Enron and handed over documents relating to its work with Enron to congressional investigators. A CSFB spokesman insisted that Enron officials understood the partnership structures they worked on with CSFB.

- Another US investment bank, JP Morgan Chase, was involved in the Enron’s tragedy. The investment bank was a major lender to Enron and the bankrupt telecom group Global Crossing. Loan losses related to Enron contributed to the bank’s 2001 fourth-quarter loss around \$332 million and JP Morgan was forced to put aside another \$150 millions in case of future loan defaults.

JP Morgan was under probe by federal prosecutors as to whether the bank could have helped Enron disguise loans as part of its normal trading. JP Morgan is known to be one of the investment banks that helped Enron set up the “Special Purpose Entitles”, which were at the heart of the company’s collapse. Questions were raised regarding trades between Enron and an offshore company set up by Chase Manhattan Bank, which is part of JP Morgan Chase. The offshore entity, Mahonia, traded with Enron, paying it in advance for future delivery of oil and gas. The resources it used came from JP Morgan. On Dec. 2001, Enron’s total global investment exposure to major financial institutions amounted to about \$4 billion.

**Investigators and Regulators Involved:** The US financial markets are supposed to be the best regulated in the world, with the Securities and Exchange Commission (SEC) enforcing strict rules on disclosure to protect investors, besides the presence of private agencies that monitor companies. The SEC's main role is to ensure that investors have accurate information about companies and that companies do not deceive investors or manipulate the market price of their shares. The SEC has strong investigation powers and can fine companies for violations or failing to cooperate.

- The SEC's investigation into Enron took off in Oct. 2001 based on allegations regarding the mismanagement, mistreatment of shareholders and potential frauds, the SEC was accused of failing to notice earlier irregularities in Enron's accounts and failed to scrutinize the company's reports in detail since 1997. The SEC defended its actions by saying that Enron's accounts were impenetrable to regulators, since its core business, energy trading, was only lightly regulated by another set of government agencies, which exempted it from many reporting requirements.

The Commodity Futures Trading Commission (CFTC), the regulator of futures and derivatives markets was supposed to regulate Enron. Originally most futures trading were related to physical commodities like the price of wheat or pigs, but in recent years, much of the trading has been in financial commodities like exchange rates.

- Enron pioneered the trading of energy contracts for the supply of gas and electricity which became the center piece of its business. The main problem is that CFTC believed in "light-touch" regulation. In 1993, the CFTC exempted such energy trade from its regulatory overview, a ruling that was confirmed in the 2000, Commodity Futures Modernization Act. The chair of the CFTC at the time was **Wendy Gramm, the wife of prominent Texas Republican Senator Phil Gramm**. She later joined the board of Enron.

Another regulatory body that oversees the energy market is the Federal Energy Regulation Commission (FERC), which was established to oversee the US domestic energy markets in 1977 and is part of the US Dept. of Energy. The FERC's main duty is to ensure that fair prices are paid for the transmission of gas, oil and electricity across the boundaries, a job that gained importance as the deregulation of energy markets gathered momentum. The FERC exempted trading in electricity contracts from its reporting requirements after lobbying from Enron in 1990's. It also failed to closely examine reports filed by Enron. Its current chairman then was **Pat Wood**, a close associate of President Bush. Wood was the chief energy regulator for the state of Texas before taking up the post. Press reports suggest that Enron's boss **Lay** suggested the appointment to the Bush administration.

- The US Dept. of Justice investigated allegations of fraud and stock manipulation on recommendation of Securities and Exchange Commission (SEC).

Enron executives ought to have been prosecuted for concealing evidence. Other changes that were investigated include defrauding Enron's pension fund.

- In March 2000, Andersen announced that it was in talks to sell itself to one of its major rivals, Ernest and Young or Deloitte, Touche and Tohmatsu or KPMG. Talks about a possible merger or takeover started after it became clear to Andersen that the Dept. of Justice and Federal prosecutors were of the opinion of criminal indictment against them for shredding documents relating to the investigation.
- On June 15, 2000, a federal jury convicted Arthur Andersen of obstruction of justice for impeding an investigation by Securities regulators into the financial debacle of Enron. The decision was based on altered internal memo that showed the accounting firm interfering with the government's investigation into Enron's collapse. The memo written by David Duncan, the lead partner on the Enron account, was about a news release Enron was planning to issue regarding its 3<sup>rd</sup> - quarter earnings. The release was characterized by certain losses Enron was reporting as "non-recurring"

at the time, several Andersen experts, including Mr. Duncan, had concluded that such a representation was misleading. Andersen did not approve that earnings release and Enron went along and issued it, then Anderson set about to change things to suit or alter documents to keep that away from the SEC. The guilty verdict against Arthur Anderson – on a charge of shredding of thousands of records and deletion of tens of thousands of e-mail messages was ultimately reached because of the removal of a few words from a single memorandum.

### **Lessons from Enron**

- Conflict of interest between auditorial function and consultational function must be distinguished.
- Securitization and other legitimate structured finance deals have to be disclosed with sufficient depth and detail to adequately inform sophisticated investors.
- Material conflicts of interest should be avoided by the management, because the investing public rely on their judgment.
- Companies should routinely change auditors to prevent Enron-style collapse.
- Corporate codes of conduct must be seriously and carefully observed.

### **Ex- Delta State Governor Versus EFCC 2010 (Nigeria)**

**Facts of the Case:** Hunted at home and abroad, chief James Onanefe Ibori (the duo) must prove beyond reasonable doubts his claims that he did not steal monies from Delta State Coffers during his eight (8) years reign as executive governor nor launder money to United Kingdom, failure to win his case in both Nigeria and UK could earn him severe penalties, including jail term.

The development in the case showed that the ex-governor and his team of defense required much more than legal exploits to extricate him from the fraud charges of stealing funds worth \$290 million US dollars (£196 Million) British pounds in Nigeria and of money laundering in the United Kingdom. Albeit, relief came his way following his release on bail after the May 12 arrest and detention in Dubai, United Arab Emirate at the instance of the UK Interpol warrant, not a few would dispute the fact that the fraud charges could Mar Iboris political ambition. His legal defense, suffered a set back following the conviction of this two associates – Ms. Christine Ibori-Ibie and Ms Udoamaka Onuigbo, each to five years jail term by South Wark Crown Court in London.

The sentence of Ibori's only surviving sister and his ex-confidant, Udoamaka to five years imprisonment by Judge Christopher Hardy came on the heels of separate ruling on June 1<sup>st</sup> and 2<sup>nd</sup> by the same court that found the duo guilty of charges of money laundering for the ex-Delta governor. Mrs. Ibori-Ibie was found guilty of a nine-court charges of money laundering, mortgage and wire fraud, while Onuigbo was convicted for only money laundering in a Case No. 120087009. The 3<sup>rd</sup> accused – Mrs. Bimpe Pogoso, Ibori's ex-personal assistant was discharged and acquitted by the jury.

The sentences did not come as surprise to many Nigerians, according to “The Economy findings, following reports both the EFCC and the London Metropolitan Police that facilitated his arrest and detention in Dubai, desperately seeking for his extradition to face the law. It was learnt the duo, went underground after he was declared wanted by the EFCC on April 13, 2010 over a petition by Delta State Elders and Stakeholders forum (DSESF). The matter took a dramatic twist when attempts by a combined team of security forces and EFCC contended to nab him at Oghara-his home town prove to be abortive as his loyalties mobilized youths and ex-militants to prevent his arrest. The security team which consist of the Assistant Inspector General of Police (AIG), Commissioner of Police (CP) and some EFCC Staff as well as Joint Military Task Force (JIF), could not gain entrance to Oghara. Days after the futile manhunt, it was learnt the duo reportedly fleet the country through Escravos – River. The duo has been on ex-convict charge against him by Mr. Good news Agbi and Anthony Alabi to quash his 2<sup>nd</sup> team governorship bid. After many trails and legal battle in the supreme courts, Ibori was cleared of the charges, though the judgment was highly disputed.

The ex-Delta governor who played a vital role in the electoral victory of Late President Umaru Musa Yar'Adua and the incumbent Governor of Delta State, Emmanuel Uduaghan, was entangled with the law when the EFCC Chieftain (M.N. Ribadu) led team to arrest on Dec. 12, 2007 and subsequently charged to court on the allegation of gross financial misappropriation while in the

office as a governor. But his strong political link in the Yar' Adua's government provided him a soft landing and therefore escape the wrath. The reprieve came when the Asaba Federal High Court led by Justice Marcel Awokulehini on Dec. 17, 2009, quashed the 170 charges brought against him by the EFCC.

To ensure that the personalities like the duo did not escape the wrath of law, the EFCC chairman, Mrs. Farida Waziir forwarded a petition to the Chief Justice of Nigeria – Justice Aloysins Katsina – Alu and the President of the court of Appeal – Justice Isa Salami, over the delay by some judges in handling the cases of fraud against the ex-governors. She wrote; “The governor's cases are not moving fast, it is frustrating. They bring all sorts of technicalities and challenge the jurisdiction of the commission to try them”.

The ex-governor who had his assets valued at #17 million (\$35 million) frozen by a court in UK in 2007 is still standing trials in UK over fraud perpetration and money laundering charges.

#### DATA EXHIBITION: - WORLD-VIEW

S/N	Case	Year	Facts of the Case
1.	Leeds Estate Building & Inv't Co. Vs Shepherd	1887	Misfeasance
2.	London & Gen. Bank Ltd	1895	Misfeasance
3.	Le Lievre & Dannis Vs Gould	1895	Negligence
4.	Kingston Cotton Mill Co. Ltd	1896	Misfeasance
5.	Wild & Others Vs Cape & Dalgeish	1897	Negligence
6.	The Western Countries Steam Bakeries & Milling Co. Ltd	1897	Misfeasance
7.	Martin Vs Isitt	1898	Fraud
8.	Mixham & Others Vs Grant	1899	Div. out of Capital
9.	Joseph Hargreaves Ltd	1900	Misrepresentation of accounts.
10.	Dumbells Banking Co. Ltd	1900	Falsification
11.	The Irish Woolen Co. Ltd Vs Tyson & others	1900	Falsification
12.	Boaler Vs Watchmaker's Alliance and Earnest Good's Stores Ltd	1903	Div. out of Capital
13.	London Oil Storage Co. Ltd Vs Sear-Hasluck & Co.	1904	Negligence
14.	Towers Vs African Tug Co. Ltd	1904	Div. out of Capital
15.	Mead Vs Ball, Baker & Co.	1911	Falsification
16.	The Liverpool & Wigon Supply Associate Ltd	1907	Misfeasance
17.	Calne Gas Co. Vs Curtis	1918	Fraud
18.	Arthur E. Green & Co. Vs The Central Advance & Discount Corporation Ltd	1920	Negligence
19.	Farrows Bank Ltd	1921	Falsification
20.	City Equitable Five Insurance Co. Ltd	1922	Misfeasance
21.	Union Bank of Allahabad	1925	Manipulation of Account
22.	Apfel's Trustee Vs Aman, Dexter & Co.	1926	Misappropriation
23.	Hudson Vs Official Liquidator, Dehradun Mussorie Electric Tramway Co. Ltd	1929	Misappropriation
24.	Rex Vs Kysant & Others	1931	Misappropriation
25.	Ultramares Corporation Vs Touche Nivene & Co.	1931	Negligence
26.	Armitage Vs Brewer & Knott	1932	Misappropriation
27.	Westminster Road Construction & Engineering Co. Ltd	1932	Misfeasance
28.	Karachi Bank Ltd Vs Sewaram	1932	Falsification
29.	Allen Graig & Co. (London Ltd)	1943	Misfeasance
30.	The Blue Bank Navigation Co Ltd (Trustee of) Vs	1934	Manipulation of Account

	Price Water House & Co.		
31.	Pendlebury Ltd Vs Ellis Green & Co.	1936	Misfeasance
32.	Leech Vs Stoks Bros & Pin (Irish case)	1937	Defalcation by Cashier
33.	S.P. Catterson & Sons Ltd	1937	Defalcation
34.	Hinds, Musgrave & Steven	1950	Misleading Facts.
35.	Controller of Insurance Vs H.C. Das	1957	Negligence
36.	Institute of Chartered Accountants Vs Rajaram	1960	Negligence
37.	Hedley Byrne & Co. Ltd Vs Hetter & Co Partners Ltd.	1963	Negligence
38.	Ultramarines Corporation Versus Touche Niven and Co.	1963	Negligence
39.	Thomas Gerrand & Sons Ltd	1867	Falsification
40.	Watergate Scandal	1972	Falsification
41.	Enron – World Tremor	2001	Falsification of Documents
42.	Cadbury Nig. Ltd Scandal	2006	Falsification Accounts'
43.	Ex-Delta State Governor Vs EFCC	2010	Money Laundering

### General Overview:

- Fraud is a financial conduct, unhealthy practice that can ruin the economy of any magnitude to zero-base.
- Generally perpetrated by those in the corridor of power.
- It is a bed-rock of dishonesty, therefore, exhibited by dishonest individuals in the key areas of management.
- There should be accorded to it a severe adverse reward for the perpetrators, which should range from life imprisonment above and the perpetrators wealth should be confiscated including his legitimate wealth. This will act as a deterrent factor and eye-opener, if implemented world over.

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## HEIDEGGER'S THEORIES AND THE STAINED GLASS

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### Abstract:

This paper work brings into discussion some of Martin Heidegger theories and analyze the way we can apply them in the stained glass situation. Will they apply in exactly the same way the philosopher says or there are some differences revealed by the different characteristic of the stained glass?

The work is divided in two parts. The first part discuss the Heidegger's theories about technology. The philosopher says that the technology affects the way the people relate to the nature and that they began to think only about the ways to exploit it. Well in this case, about stained glass, this problem is different, because by it's nature, the stained glass making process never change the relationship between the artist and the glass. So, no matter the tools used for making stained glass, the traditional ones or the computer, the creative process remains the same.

The second part analyze another of Heidegger's concepts from his work "The Origin of Work of Art" which are the thing, the tool and the work of art. Heidegger says that an object can be a thing or a tool or a work of art and that it can never accomplished more than one of these characteristics. Well here we can see that stained glass have different rules. It's duplicity allow it to be a work of art and a tool in the same time. And even if it lose the tool characteristic, it always keep the work of art characteristic.

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**Key Words:** Philosophy, Stained glass

### Introduction:

In his working papers, Peter Sloterdijk said that we should think "with Heidegger against Heidegger"<sup>202</sup>. This is an interesting idea, to run counter an important philosopher's concepts, because the fact itself, that he was internationally approved, means that the world had been accepted his theories and used them.

In this paper I will take few Heidegger's concepts and I will put them in an analysis with my doctorate theme, the stained glass, to see their practicability.

The term stained glass can refer to colored glass as a material or to works produced from it. Throughout its thousand-year history, the term has been applied almost exclusively to the windows of churches and other significant buildings. Although traditionally made in flat panels and used as windows, the creations of modern stained glass artists also include three-dimensional structures and sculpture.

### Main Text:

#### 1. Heidegger and technology

We can notice that the stained glass had been changing it's significance along time and also it's manufacturing process. The manufacturing process depends of the technological possibilities available at that moment, so it's a sure thing that the process has changed. But how much it's significance has changed and how much depends on the technology we will see below. It is interesting to analyze in which way went the significance changing process and if it's good or not for humanity.

Heidegger proved in his theories that he is against the technological evolution and the way it sees the planet resources.

In the stained glass situation this can not be applied because stained glass technology had always evolved and like that the artist improved their techniques. Here we can not speak about

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<sup>202</sup>

Jongen, Marc. *Anthrospheres and Aphrogrammes* Sloterdijk. pg. 4

exploitation in the way Heidegger criticized. In this case, the technology always helped the artist to create, even nowadays when we face the “maximum yield at minimal expense”<sup>203</sup> production.

There are few theories, according to Heidegger's, that sustain the Renaissance stained glass is the most valuable of all and that is the manufacturing techniques that we should keep and apply in our manufacturer. But this is an erroneous theory because, the truth is, the Renaissance Stained glass is the most popular one for the masses. In those centuries many churches were decorate with stained glass, churches that passed the test of time and there are nowadays in the same shape.

But in this case it's no real argument to sustain that affirmation. Analyzing the history of stained glass we can see the fact that the technical improvements were helpful in their developments.

### **Stained glass – short history**

The idea of stained glass started in Ancient Rome, in Caracalla's Baths, where the Romans put a sheet of marble to fill the windows gap. The Romans didn't have the technology to make stained glass, so they used a substitute to create the same effect, the same atmosphere and a colored light.

Later, in XII century the stained glass manufacturer begin to develop, they used metallic salts to color the glass and other substances to paint over it. In the Renaissance century the stained glass got an important amplitude and the manufacturers and the artists developed new techniques to create new effects, like using different types of acids and improvement of the lead stripes to make it more resistant to light and rain. On that time every artist made the glass itself, the chemical composition being very well kept secret.

Between XVIII and XX century stained glass weren't used on buildings and it's technology had lost.

But in XX century, stained glass art began to develop again. The industrial revolution influenced the manufacturer and the result were that the artist weren't use a glass made by them, they used an industrial colored glass. The quality of the glass were improved and the difference can be seen at the colors, the way the light pass through by the light, a good luminosity is very well appreciated. The Renaissance technology couldn't been rediscovered, but there were other techniques used instead. Tiffany created it's own stained glass made of several sheets of different type of glass put together at high temperatures. This stained glass quality was so high that, no matter the color, it's luminosity remained at high level.

Between 1900 and 2000 the stained glass technology had been rising and developing much more than the Renaissance's, and through this got a high liberty and free hand to the glass artist. He can choose what kind of glass want to use, he can made his own colored glass or to buy it, the technologies are so many and manifold that the difficulty now is to choose one of them. But the beauty of technology is that the only limit now is the imagination, the power of the artist's mind to create something new in glass art.

The manufacturing technologies had been evolved along the time, based on the evolution of the technology of making glass, and in the Industrial Revolution Ages, on the production machines improvement. Nowadays, the glass technology attain to a point where, to all intents and purposes, anything it's possible. The classic stained glass are still produced in small workshops, but the manufacturing technology goes through efficiency, rapidity and perfection. It come out manufacturing technologies of the decorative serigraphed glass, where the drawing is made on the computer and a machine print it on the glass surface with maximum precision.

### **Contemporary technology – effects and implications**

To make a practical analyze about Heidegger's theory, we must refer to the nowadays glass making technology and it's implications on the master glass maker and the stained glass. Heidegger says that the technology affects the way the people relate to the nature and the whole planet. Says that they begin to think only about the ways to exploit it.

Well, here we can not talk about that, merely because the stained glass it always implies a creative process. No matter if it's still more or less a hand made product because the high advanced

<sup>203</sup> Heidegger, Martin. *The Question Concerning Technology And Other Essays*. New York and London: Garland Publishing, Inc., 1977.

technology, the stained glass will always keep the same relationship with the master glass maker. Because the master glass maker is, with no doubt, an artist. And no matter which tools he chose, the creative process remains the same. And in this creative process it happens something interesting. The artist imprint in his work a part of himself, a part of his soul.

How much we can see the reflection of the man in stained glass it's up to the making procedure, the person who designed the pattern and how much does the master glass maker put his print on the work. Because the stained glass is hand made would be wrong to make the assumption that the artist, the master glass maker doesn't imprint a part of his soul in that glass work, even though the pattern is created by someone else. The impress can be saw in the delicacy of the work and the execution details.

“The painting is not a copy of the world, it's a duplicity of senses, the inside of the outside and the outside of the inside.[...] The painting does not conjure anything.”<sup>204</sup>

The painting is, just like that, a reflection of us, of what we are, of what we feel. After a case study made by myself in a painting studio, I observed that every painter represent himself in that painting work, no matter what's it's meanings. Some people call this the specific print of the personal style of the artist. But the most shocking, or maybe remarkable, is the fact that they draw their own portrait when actually have to draw someone else' s portrait, and they don't even realize this. Of course that, at some advanced level of painting, this phenomenon is harder to notice, only an able and experimented eye have the capacity to notice this.

So, even though the portrait belongs to the posing model, the drawing represent the painter, even if he wants this or not. By parity of reasoning, the stained glass, an artistic handicraft, toe this line, too. In every stained glass the artist is represented, the glass work is a duplicity of him, even though the pattern, the drawing is chosen by the beneficiary.

So, this imprint is so strong that, no matter the technology, the master glass maker will always relate to the glass in the same way. The glass is made in a factory, but is just raw material for the stained glass.

Here we can debate another problem that comes with the technology. Do the contemporary stained glass have the same value for us as the Renaissance ones do? The answer is, of course, yes they have. Because behind any tool is the man that control it. The computer is just another tool that we can use to create masterpieces.

The technology helps the artist in his creations because no matter the tool you use, the important is the man who use it to create a shape, a form and a color. Saying that the art made with the computer is no longer art, it's obviously wrong because the computer it's another tool to use in any art masterpiece. Leonardo da Vinci experienced with different techniques in his painting and we can't say it's no longer an art because it's created in a different method than his contemporaneous did.

However, how does the technology affect the contemporary stained glass value is difficult to say. It inevitably change our values system and the way we are related to works of art. When an object, a work of art or not, is easier made by the medium of technology, we can ask questions about how much does it value. How much can count it's artistic value if we use the computer to made it. However, it would be a mistake to say that an artistic composition is less valuable because it was computer made. The talent and the creative effort it's the same, and sometimes even bigger, because there are many other possibilities, more options we have to choose between when we have various technical resources available.

It will be a mistake to say that only traditional made stained glass are valuable, because being against to technical progress means to be against evolution. The new techniques means evolution, innovation, a larger liberty of expression, and the spectacular masterpieces have been created by the artists who have known use the ideas and the technology which they had, or even to bring themselves innovations.

According to Heidegger we should stay to Renaissance level of stained glass. This is impossible to conceive, because many stained glass masterpiece were created between 1900 and 2000. Furthermore, thinking about Heidegger's ideas, we should stay to Ancient Rome's level. It is true that

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<sup>204</sup> Merleau-Ponty. *Fenomenology, language and sociology*. Heinemann: London, 1974.

the marble is still used for visual effects in many buildings, but I don't think that anyone would be agree with using only marble in windows instead of stained glass. And I don't think that anyone could say that using glass changed how we relate to marble, or that it is a negative fact. The stained glass technology will always evolve like every part of our lives and it is to the detriment of our world art heritage to stop that.

I don't say that we should forget the Renaissance style of stained glass. It is important to preserve this style and it's technology because it's useful in restorations and important for our history and acquaintance.

The contemporary and the works of art

They say that nowadays the artists can't create such masterpieces like the Renaissance masters. But if we do an honest analysis, we see the fact that art and stained glass also are much more accessible now than few centuries ago, and the result is that many people try to express themselves through this form of art. The professional materials, like the colors, the lead stripe, a large palette of types of glass is now much more accessible and affordable to the ordinary people. These people are more or less talented, but because of mass-media, the network and the social networks their art become known to a large number of people. Now we are surrounded of information, some important or not and the people who choose to publish it are not always the right ones. The absence of a proper education can be seen at the would-be artists and the mass-media would-be curators.

Just like that, the mass-media may create an erroneous idea that we have no more art masters. The artists that we can call masters exists but they are surrounded by mediocrity. We can find them in the notorious art gallery which have some educated curators, able to evaluate a real masterpiece from a less valuable piece of art.

As a conclusion we can say that the technology it's necessary, we must accept it's evolution, use it for our needs but without forgetting the historical methods.

## 2. Heidegger and "The Origin of Work of Art"

We can ask ourselves to what degree the stained glass is a *thing*, a *tool* or a *work of art*. Although we make reference to Heidegger's concepts, we can't be totally agree with them.

According to Heidegger, starting from the idea that the stained glass is a *work of art*, the concept of a *thing* can be applied to the support material only, like glass and lead stripes.

But the fact concept that the *tool* can't be a *work of art* and vice versa, can't be applied to the stained glass's case. The stained glass accept the both concepts, without changing or transforming anyone of them. The stained glass can be a *tool*, because it's a part of the house envelope, the outside layer, that protect against the bad weather, the intruders, and even the outsider's sight. In the inside of the house, the stained glass is used like a separating element between the rooms, interior spaces and even like a part of the furniture.

The stained glass it's a *work of art*, too. We don't say that because we think of stained glass like a *tool* with an aesthetics value affixed, because that will be wrong. Of course that not all stained glass are *works of art*. To be *works of art*, according to Heidegger, it must complete several criteria.

- "As an work of art, the work of art display a world";
- Proposal of the Earth "What's right, the sculptor use the stone exactly how the stonemason does. However he doesn't make the stone subject to the wear and tear. This is happening to a certain degree only where the work of art is flunked. What's right, the painter use colors, too, but in a way that he doesn't make the color subject to the wear and tear, but contrariwise, to get the glow. What's right, the poet use the word, too, but not alike those who talk and speak as a general rule, having to make the words subjects to the wear and tear, but in a way that only now the word become and stays authentic.";
- "The origin of the work of art is art.";
- "The work of art find it's finality in itself.";
- "The work of art character of the work of art consist in the fact it is created by the artist."

Now let see if stained glass accomplish these criteria.

“As an work of art, the work of art display a world”

Well, we can say that stained glass display at least a physical world, a fantastic world and a subtle, hidden world. The physical world can be represented by the historical stained glass that represents a heritage, an important document that helps us study the past. These can be found in the old churches, especially from the Renaissance Ages and in the medieval castles, which, sometimes, kept the coat of arms on stained glass, for example. The fantastic world can be the world the artist want to expose to us, to guide us to his imagination, to his inner world. The hidden world is represented by the artist's signature, the imprint that he inevitably put on the *work of art*. Because the stained glass, as a *work of art*, represent the master glass maker.

Proposal of the Earth “What's right, the sculptor use the stone exactly how the stonemason does. However he doesn't make the stone subject to the wear and tear. This is happening to a certain degree only where the *work of art* is flunked. What's right, the painter use colors, too, but in a way that he doesn't make the color subject to the wear and tear, but contrariwise, to get the glow. What's right, the poet use the word, too, but not alike those who talk and speak as a general rule, having to make the words subjects to the wear and tear, but in a way that only now the word become and stays authentic.”

The glass master, the artist, use the glass like a prop for his creation, but in a way that the glass is exalted and not wearing out. When we look to a piece of stained glass, we don't notice the glass as a material, but the creation, the composition which enchant our senses, we look at it like we look at Michelangelo's “Pieta”, where we don't notice the marble, but we notice the overwhelming expressiveness of the mother which hold her death son in her arms; like that we look to a piece of stained glass.

“The origin of the work of art is art.”

Every work of stained glass start with a creation process, from the artist imagination, a sketch, the final drawing and then, the stained glass making process. Taking into account that the creative process is a full form of art, we can say that stained glass have it's origin in art.

“The work of art find it's finality in itself.”

Heidegger says that the *work of art* find it's finality in itself, it doesn't have to have a practical role, like the *tool*. The philosopher also says that the *tool* that doesn't fulfill it's duty, doesn't find it's finality anymore, it's worthless. However, if we think about it a little, the stained glass contradict these rules. Because a stained glass displayed on a wall is a *work of art*. In this case it lose it's *tool* characteristics, but it find it's finality like a *work of art*. It is interesting that this duplicity allow stained glass to never lose it's finality. There is no place for confusions here. We don't make the mistake to give it a non-existent characteristic. The stained glass in not like the architecture which, although is an art discipline for some people, and some buildings, *works of art*, it is only a tool. Sometime nowadays for a more thermal comfort, the stained glass is installed near the thermal insulating surface, like the thermal insulating window. In this case the stained glass loses the *tool* characteristic, but keeps the *work of art* characteristic. So, stained glass have the interesting characteristic that it never lose it's finality.

“The work of art character of the work of art consist in the fact it is created by the artist.”

We have to admit that not all the stained glass work are *works of art*. Mostly because they are not created by artists, but amateurs. But the same rule is applied to painting, to music, poetry...the author is not always an artist. Taking into account the works that are made by artists, we can say that we have stained glass works that are *works of art*. The master glass maker is an artist, because he goes through all steps that a canvas painter goes. He just use another tools, like lead stripes instead of paintbrushes and pieces of glass instead oil or water colors.

We can say, without any doubt, that the stained glass can be a *work of art*, too.

Comparing to an usual *work of art*, the stained glass like a *work of art* don't lose it's tool characteristic. We can say that it is one and another. Based on the quality of the art, the stained glass

can be more a *tool* than a *work of art* (in the case of a less good creation), or more a *work of art* and less a *tool*. However its characteristics oscillate between the two concepts, the stained glass never loses the *tool* characteristic when it is used in a proper way.

In the case of a home, we will always notice the creation. The creation it's the one that enchants us, feeds us in a spiritual way. In the relationship that we have with the stained glass the concept of work of art prevails the concept of tool. In an ideal situation, when the stained glass fulfills its duty as a *tool*, we never think about it in this way. Making a comparison, in Heidegger's example, the peasant woman wearing a pair of shoes, the shoes being a *tool*, is very well served by them as long as she doesn't think about the shoes.<sup>205</sup> Making an elaboration about this, as long as the shoes fulfill their duty as a *tool*, they are comfortable, don't abrade the feet, don't make calluses, don't break themselves, the users, in our case, the peasant woman, can focus on other duties. So, as long as the stained glass is in a perfect shape, we will think about how beautiful it is, how wonderful filters the light, and so on. In the moment that the abnormality shows up, like cracks hereby the rain can come into, we will inevitably think at the practical role that the stained glass doesn't fulfill anymore.

### **Conclusion:**

It's interesting to see how the stained glass versatility changes the way we read Heidegger's concepts and ideas.

We could see that, in this case, the technology improvements did not change the way we relate to the earth resources, nor the artist relationship with glass. No matter what tool he uses, he will always see the stained glass creation in the same way.

Also, it is very interesting the stained glass duplicity, because it can be a tool and a *work of art* in the same time. And even if it loses the tool characteristic, it will always keep the *work of art* characteristic. The stained glass never loses its finality.

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## CONTRIBUTIONS OF MOTHER TONGUE EDUCATION IN EARLY CHILDHOOD EDUCATION

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### Abstract:

Early Childhood Education is very essential in a child's life hence the recent focus on it across the globe. It is that education that provides for children whose age bracket is from 0 to 8 years. To demonstrate the significance of Mother Tongue education in Early childhood development, February 21-22 of every year is set aside as the International Mother Tongue Day globally. The declaration by UNESCO in 1999 further emphasized the relationship between the two concepts. This paper examines the contributions of Mother Tongue Education in Early Childhood. Issues raised will be discussed under the following six subdivisions: background of language situation in Nigeria; policy document on language in Nigeria; language theories and development; problem statement and rationale; success and failures of MT in countries and suggestions on the way forward.

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**Key Words:** Mother tongue, Education, Early childhood

### Introduction

Early Childhood Education is very essential in the life of a child's hence the recent focus on its desirability across the globe. It provides for children whose age bracket is from 0- 8 years. A period described by Osanyin (2002) as extremely crucial to an individual's intellectual, emotional, social and physical development. This are the most impressionable years as they lay the foundation for the development of the human personality. More so, it is a stratum which the Mother Tongue (MT) will make a significant impression in the life of the young ones. Mother tongue, as the term suggests, is closest to a person's heart. Like mother's touch and mother's milk, it can never find a substitute. To this end, modern psychology also lays tremendous stress on a child's connection with the mother tongue. Having realized the significance of the mother tongue advantage, parents have started initiating their children in their native and natural language ([www.google.com](http://www.google.com) 2008).

The significance of the MT Education in early childhood development, accounts for the series of International conferences and conventions notable amongst which is the 1990 convention to the Right of the Child, World conference on Education For All (EFA), in Jomtien in 1990 and EFA Summit in New Delhi in 1993 respectively and OAU International Conference on Assistance to Africa Children. At the various congregations the child became a "Priority". Right of the child to free and compulsory education an obligation of the state was canvassed and especially it provides stimulus for government to take action on the right of the child in connection with the Mother Tongue. Corroborating the above position Osanyin (2002) reported that the convention states specifically that every person shall be able to benefit from educational opportunities designed to meet the basic learning needs. The needs comprise both essential learning tools such as literacy, oral expression, numeracy and problem solving and the basic learning content such as knowledge, skills, values and activities required to survive and develop to full capacity. Against this background, UNESCO in 1999 declared February 21-22 of every year as International Mother Tongue Day. The inter relatedness and strong relationship that exist between the two concept that is Early Childhood Education and mother tongue can not be overemphasize.

### **Historic Review of the Position of Language in Nigeria**

In a multilingual and multiethnic environment like Nigeria, a large number of indigenous languages exist and the number has been put differently, Hansford (1976) mentions 395; Banjo (1975) in Ayilara and Oyedeji (2000) says 500 and Bamgbose (1992) maintains that it is 513 (Makinde 2007). Despite this large number, English therefore, remain the official national language and as a result the generality of the population is inclined towards oral use of English Language. Practically in the schools system English has become the pre-eminent language of education right from the colonial time to the present as it is both the medium of instruction right from nursery one and through out school life. A view shared by Oderinde (2007) who expressed that English Language rode on the back of British colonialism into Nigeria in the 19<sup>th</sup> century.

Exclusively English is taught as a subject at all level while the indigenous languages largely suffer neglect and are mostly restricted to their domains or regions of use (Adegbija, 2004). In fact of all the indigenous languages only three have been recognized to be taught within the school system that is Yoruba, Hausa and Igbo largely for socio- political relevance. Oderinde (2007) maintain that English assumed this new status through the instrumentality of aggressive governmental machinery and support aided by culpable acquiescence of indigenous population- both the locals who perceived the use of English tongue as symbols and the overseas returnees (the educated reprieved slaves) who flaunted their novel Language acquisition to the blind admiration of the locals, who often times aped them in their speech. The aping and the idea of looking at English expression as class have led to about 80% (if not higher percentage) of the Nigerian elite in the Southern Nigeria speaking more English to their kindergarten children than the mother tongue at home. The situation as observed by Ogbona (2006) tend to have led to huge imbalance in bilingualism involving English and Nigerian languages to the extent that many educated Nigerians can not read or write in their native language or Modern Tongue.

Fafunwa, (1978) however established through research that the best language for good concept formation at a very tender age is the indigenous language. The research was conducted in 1970, at the Institute of Education of the University of Ife (now Obafemi Awolowo University, Ile-Ife) in Osun State of Nigeria. The 'Ife Six-Year Primary Project' was designed to use Yoruba language as a medium of instruction in primary schools in Osun State of Nigeria. This project was based on the premise that:

- (a). the child will benefit culturally, socially, linguistically and cognitively.
- (b). the child's command of English will be improved if he is taught English as an entirely separate subject by a specialist teacher through the six years.

Generally, Ejieh, (2004) stressed that the goal of the Ife project was to develop a sound primary education for the child and make him to be cognitively alert as a citizen of his country and the steps taken to achieve this objective included the designing of relevant primary school curriculum with appropriate teaching materials and using Yoruba as the medium of instruction throughout the six years of primary school while English was taught as a separate subject. According to Fafunwa, (1986) Primary school teachers were specially trained in the use of mother tongue for instruction. There were regular intakes of primary one class in some selected primary schools, while some are regarded as experimental groups others are control groups. The data collection and analysis was done between 1971 and 1983 and it revealed that the experimental group of schools performed better than the controlled group in all school subjects at the end of primary school education. The result attracted much publicity in Nigeria especially in both the print and electronic media and it was suggested that the language of the immediate environment that is Yoruba (home language) be adopted as the medium of instruction throughout the six-year period of primary education.

### **Policy Document on Language in Nigeria**

The language-spread policies in Nigeria are evidently displayed in the educational domain. Hence, the National Policy on Education (NPE), submits is essentially an articulation, by government, of the way education system should be organized in order to achieve national goals and objectives. In the case of Early Childhood Education, the National Policy on Education (NPE 2004), section 1 (10)

(a) mentions that government appreciates the importance of language as a means of promoting social interaction and national cohesion; and preservation of cultures. Thus every child shall learn the language of the immediate environment. Furthermore, in the interest of national unity, it is expedient that every child be required to learn one of the three Nigerian languages: Hausa, Igbo and Yoruba. Section 2 (14) (c) stipulates that government shall ensure that the medium of instruction is principally the mother tongue or the language of the immediate community. Section 4 (19) (e) stipulates that the medium of instruction in the primary school shall be the language of the environment for the first three years. During this period, English shall be taught as a subject.

The provision for language teaching and learning in the National Policy on Education (NPE 2004) as stated above is no doubt laudable, but effectively achieving the set goals and objectives in the areas of implementing this creditable policy in the classroom is in doubt. In practice Maduewesi (1999) held that for two reasons the pronouncement of the National policy had not been taken seriously. Firstly, a foremost expectation of Nursery schools is to teach the young child the English language which is the preferred language of the parents and since the schools are private establishments, the proprietors have to please their clients or they would lose patronage. Secondly, it seems both unrealistic and unfair to expect this policy to be taken seriously as long as the National language, the language of business and transaction remain English language.

Oderinde (2007) strongly acceded to the ideas expressed above by Maduewesi, and warned that as a nation, we have found ourselves in this quandary because of the status of English as second language (SL) and because we want to savour the best status for ourselves and our children we end up shooting ourselves in the foot by unwittingly foisting on ourselves cultural alienation.

### **Theories about Language Development**

The earliest theory about language development assumed that children acquire language through imitation. Explaining the process of learning the Mother Tongue effectively in the early stage of schooling, Nwakwe (2006) noted that the process of learning the Mother Tongue is such that the child's build up sounds of words in sub-conscious cumulatively until such a time that the speech organs are ready to utilize these internalized sounds. The rules governing language at this stage is that language are acquired without any careful study but by imitating words and expressions as they are used in the child's immediate environment by the father, mother, brother, sister and nannies who are the first people the child made contact with. However, research has shown that children who imitate the actions of those around them during their first year of life are generally those who also learn to talk more quickly, there is also evidence that imitation alone cannot explain how children become talkers (David, T. Gooch, K. Powell, S. Abbott, L., 2003)

According to the Behaviourist theorist, lead by Skinner, children learn language through reinforcement. In other words, when a parent shows enthusiasm for something a child tries to say, this should encourage the child to repeat the utterance. But again, even though reinforcement may help, this theory cannot account for children's inventions of language.

Some argue that it is not just hearing language around them that is important, it is the kind of language – whether it is used responsively (for example, following a baby's input, such as the baby making a noise or doing something). It is also clear that babies need to hear language to develop this themselves. The idea of *motherese* (Snow and Ferguson 1977; Trevarthen 1995) –accentuated, tuneful, accentuated speech to babies and repeating their own language (often extended) back to young children – was posited as a basic human requirement. However, other research (Snow and Ferguson 1977) indicates that while motherese can be used to explain how aspects of individual children's environments help or hinder them from talking, it does not explain the underlying causes of language acquisition. We can at least suggest that talking in motherese attracts and holds babies' attention and that it allows the infants themselves to take part in enjoyable turn taking exchanges, the beginnings of conversations.

Chomsky (1965; 1975) proposed that babies are born with an inbuilt *Language Acquisition Device* (LAD). He suggested that language then simply emerges as the child matures. Slobin (Ferguson and Slobin 1973; Slobin 1985) continued this line of thought, proposing that just as newborns come into the world 'programmed' to look at interesting, especially moving, objects, so babies are pre-programmed to pay attention to language. One problem with this theory is that children

seem to have great proficiency in acquiring whatever language/s they hear around them and during their first year of life they will gradually discard from their repertoire of vocalisations sounds which they do not hear in the speech of those with whom they spend their lives – but of course the pre-programming does not need to be thought of as tied to a specific language. Like Trevarthen and others, Chomsky indicates the centrality of interactions with familiar adults and older children from the earliest days of life.

Piaget argued that language is an example of symbolic behaviour, and no different from other learning. Conclusively, it can be argued that none of these theories about language can stand on its own and there is the need to take account of each of them for their ability to explain part of the story.

### **Problem Statement and Rationale**

Over the years, there may not have been satisfactory growth in the number of pre-schools that have adopted the mother tongue as medium of instruction despite its desirability and the pronouncement of the National Policy on Education's (NPE 2004). Instead school administrators and teachers made pupils pay a fine or serve punishment each time they were found in the classroom speaking any indigenous languages which are referred to as vernacular. However Ogbona (2006) warned that effective learning in schools is rooted in literacy in the languages used for learning. The resultant effect on the children is total disregard and loss of interest in the indigenous languages taught within the school system.

Any education system relies on a network of interactions between and among parents, teachers, students and community members. These interactions are influenced by many factors amongst which is the socio, and cultural drivers like the language values and culture of the people. Unfortunately, acceptance of English language as medium of instruction in early childhood classes is denying us as a nation the opportunity of introducing our culture and ways of life to the young ones using the mother tongue. A position corroborated by Oderinde (2007) that the cultural alienation and resultant changes that go with English Language and western education in Nigeria are the root of our preference for foreign things dress, music and lifestyle.

The current trend in many homes particularly in the urban centres is that many parents communicate with their children in English rather than the mother tongues thus neglecting the native language. A child who is not able to speak English language fluently is regarded as a failure and a disgrace to the family as such every parent wants to belong to this class of elites. Maduewesi (1999) condemned this practice and reprimand that children are maimed emotionally and intellectually when they are taught so early in a language with which they are not familiar with.

### **Success and Failures of Mother Tongue in Countries**

In 2001, the government in Denmark amended the law on school instruction in the home language. The amendment abolished government subsidy for the instruction in the home language except for children of parents from European Union countries ([www.google.com](http://www.google.com) 2009). From 1975 and until the change in legislation in 2002, instruction in the home language had been offered on equal terms irrespective of country of origin to all children for 3-5 hours a week. This amendment led to heavy deterioration in the conditions for obtaining home language instruction for the largest group of children from the third world countries in Denmark. As a result of the change in legislation in 2008, about 62,000 of these children from the third world countries have lost their rights which they previously had, to develop their home language as an integral part of the public educational system ([www.google.com](http://www.google.com) 2009).

The Molteno Project (Duncan 1995) another programme for teaching initial literacy using the home language, was examined in the Pan-African Conference papers (Tambulukani et al., 1999). The project examines the use of Ibibemba as a language of instruction in 25 primary schools in the Northern Province of Zambia. Due to the huge success of this project, Zambia has put into place a primary reading programme based on this model that will be used in its primary schools for the next few years. The implication of this is that, this project seeks to build English skills in a way that will make English more effective in Zambian schools and society, while recognising that Zambian home languages are the foundation upon which a durable literacy programme can be built.

Williams and Mchazime's (1999) examines the success of Malawi's early literacy instruction using the home language as a medium of instruction while acknowledging the need for English as a language of literacy in the region. This study investigates reading proficiency in English and ChiChewa, the home language in primary schools. The study argues that reading, listening comprehension and speaking in the home language were much easier for students who participated in the study than were the same activities when conducted in English.

### Suggestions

- The policy position on use of mother tongue as medium of instruction for early childhood education should be promoted in the school system taking a cue from the six years Ife project which is acknowledge to be highly successful and effective in helping children to become bi-literate in their mother tongue and English language.
- The school administrators and class managers should motivate the child to acquire and develop full language skills such as understanding, speaking, reading and writing not only in English Language but also in their mother tongue because this has potential to assist the child to communicate effectively and also understand clearly the language of his immediate environment.
- Recognizing the significance of the mother tongue in helping the child to develop the right attitude to language acquisition, literacy skills and cultural values by Parents would reduce the emphasis on speaking English language a must for their young ones. Thus, the beauty of the mother tongue to early childhood education should be emphasized at every opportunity not only by those in the education enterprise but by all agencies of government concerned with mobilization like the Mass Mobilization agency and all other advocate groups.
- More teachers should be trained in the indigenous language especially in the universities and colleges of education if meaningful development and use of mother tongue in Early Childhood education is to be achieved.
- Financial incentives as well as good welfare package should be made available by the government to indigenous language teachers for them to be more committed to the job.

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## TECHNICAL SKILL NEEDS OF TECHNICAL TEACHERS IN SOUTH-SOUTH OF NIGERIA

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### **Abstract:**

The existence of skill gap in technical teachers, particularly those in building technology is currently having a wide spread negative impact on both the teachers and craftsmen in terms of functions and productivity in work place. Lack of attention to tackle the gap will make the young recruits less attractive to employers, resulting in higher unemployment and greater difficulty in improving production to enhance the economy of the country. This study was designed to identify the skill gaps between technical skill needs and technical skill possessed by technical teachers in building technology in South-South Nigeria. Descriptive survey design was used. Two research questions and two hypotheses were raised. The data were analyzed using relevant statistical tools, which include frequency, means, correlation, standard deviation and ANOVA. The study revealed not only that there are skill shortages, but the level of shortages. Solutions proffered include provision of in-service training and the need for the government to provide facilities, machinery, tools and consumables among others in the various technical colleges needed by building technology teachers to build their skills as well as fulfilling the aim of technical education which is producing individuals that are self-reliant.

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**Key Words:** Technical skills, technical teachers, Nigeria

### **Background of the Study**

In March 10-16, 2002, the National Summit on higher education was convened to develop the fourth review in a series of surveys designed to fashion out appropriate strategies for good quality university education in Nigeria in the 21<sup>st</sup> century (Okebukola, 2002). The implication of this for the vocational teachers generally and technical teachers in particular is that today's training skill shortages are extremely broad and deep, cutting across industrial sectors and impacting more negative tendencies for technical colleges. Consequently, skills shortages in building technology teachers are having a widespread impact on technical college artisan and craftsmen's abilities to achieve production levels, increase productivity, and meet customer demands. The results of the above survey confirm the skill shortages in technical teachers found in earlier reports made by Okebukola and Salawu, (2001) and Oni, (2000). However, the 2002 report goes much beyond earlier findings in detailing the breadth and depth of the skills shortage. It covers the training skill needs of technical education teachers in building technology; the negative impact of the skill shortages in technical teachers that are supposed to provide the highly needed craftsmen and artisan from the technical colleges and the extraordinary increase in craftsmen and artisan performance requirements. The picture that emerges is both more complex and more disturbing than in the past, because it exposes a broadening gap between the availability of skilled teachers and the employee performance requirements of today technical teachers in technical colleges. This human capital performance gap threatens our nation's ability to compete in today's fast-moving and increasingly demanding global economy. It is emerging as our nation's most critical educational issue.

The African Economic Outlook reviews technical skills development systems across 35 African countries, including Nigeria exploring challenges, bottlenecks, highlighting good practices, and in developing, implementing and sustaining successful technical education and training programmes (Association for the Development of Education in Africa, 2008).

### **Statement of the Problem**

- Today's training skill shortages for technical teachers, which are having a widespread impact on technical college artisan and craftsmen's abilities to achieve production levels, increase productivity, and meet customer demands as were earlier pointed in several literatures by Okebukola (2002), Ojo (1993), Olaitan (1996), and Oni (2000).
- The increasingly competitive global environment, the evolution and increase in new knowledge, which have made it difficult for technical teachers in building technology particularly those trained in Nigerian universities, to find the competition for work increasing, and widening beyond that which current programme of study can offer (Okebukola and Salawu, 2001).
- The challenge for the technical teachers in building technology to be obliged to be equipped with better education and newer skills in order to meet the demand of today's workplace and to aspire to an improved quality of life to be self-reliant.
- The fact that today, unemployment and poverty are increasing at alarming rate in Nigeria and thus the major challenge for the technical teachers in building technology to have a kind of training that will make them self-reliant, especially with regard to competencies and skills acquisition in the depressed economy and labour market (Federal Republic of Nigeria, 1991).
- The last challenging task today being for the educationists, researchers, industry, government and the society at large to be able to offer the desired remedies in a responsive way for the skill shortages

### **Research Questions**

1. What are the technical training skill needs of building technology teachers in technical colleges in South-South Nigeria?
2. What are the technical training skills possessed by building technology teachers in technical colleges in South-South Nigeria?

### **Hypotheses**

1. There is no significance difference in the mean ratings of technical teachers from the six states on the technical skill needs of building technology teachers in South-South of Nigeria
2. There is no significance difference in the mean ratings of technical teachers from the six states on the technical skills possessed by building technology teachers in South-South of Nigeria.

### **Method**

The descriptive survey design was used in this study. Questionnaire and checklist were used in educational research to collect data about phenomena that is not directly observable. The total population of this study was made up of 102 respondents, which included all the building technology teachers in 35 technical colleges in South-South Nigeria. Due to the small number of building technology teachers in technical colleges, the entire population for the study. The questionnaire was used containing 21 items on technical training skill needs and 21 items on technical training skill possessed. Both the TSNBTTQ and TSPBTTQ of the questionnaire have been place on a five point Likert-type scale ranging from very highly needed to not needed and ranging from very highly possessed to not possessed respectively addressing the research questions and hypotheses.

**Research Question 1:** What are the technical skill needs of technical teachers in building technology in South-South Nigeria?

**Table1: Technical Training Skill Needs of Technical Teachers in Building Technology in South-South Nigeria.**

N	Technical skill needs in building technology	Mean $\bar{X}_1$	Standard deviation	Decision
1	Building drawing skills (manual and computer)	4.431	0.634	Needed
2	Surveying, landscaping and site preparation skills	3.804	0.841	Needed
3	Foundation skills	3.529	0.647	Needed
4	Ability to use machines for construction	3.765	0.854	Needed
5	Ability to use hand tools for practical work	3.370	0.659	Needed
6	Brick and block Laying skills	4.314	0.641	Needed
7	Roofing skills	4.324	0.597	Needed
8	Mansory skills in building	4.500	0.668	Needed
9	Concreting and reinforcement skills	4.431	0.619	Needed
19	Carpentry and Joinery skills	4.118	0.704	Needed
11	Final Finishes skills	4.304	0.725	Needed
12	Plumbing skills	4.039	0.949	Needed
13	Ability to organize laboratory/ workshop practical	3.373	0.640	Needed
14	Structural construction skills	3.961	0.907	Needed
15	Entrepreneurial skills	3.384	0.677	Needed
16	Information and communication (ICT) skills	3.170	0.821	Needed
17	Industrial training skills	3.953	0.519	Needed
18	Upholstery skills	4.520	0.578	Needed
19	Decoration skills	4.382	0.648	Needed
20	Soft ware skills for analysis of practical tests	4.147	0.814	Needed
21	Knowledge of current technical books, journals magazines and monographs	3.363	0.644	Needed

Table 1 indicates that all the 21 items of the technical skills are needed by the building technology teachers. These borders on areas like information and communication (ICT) skills, foundation skills, ability to use hand tools for practical work and knowledge of current technical books, journals magazines and monographs. Other areas include building drawing skills (manual and computer), surveying, landscaping and site preparation skills, ability to use machines for construction and brick and block Laying skills. Others are roofing skills, masonry skills in building, concreting and reinforcement skills, carpentry and Joinery skills, final Finishes skills, plumbing skills, ability to organize laboratory/ workshop practical, and structural construction skills. In the areas of industrial training skills, upholstery skills, decoration skills entrepreneurial skills, and soft ware skills for analysis of practical tests, especially in the last two, which are now be emphasized in any technical study, it was revealed that the skills are highly needed. This supports a report made in another study that there is need to seek a tie that binds, that is, integrating training and development so that there is human resource development, and teacher preparation (Gray, 1997).

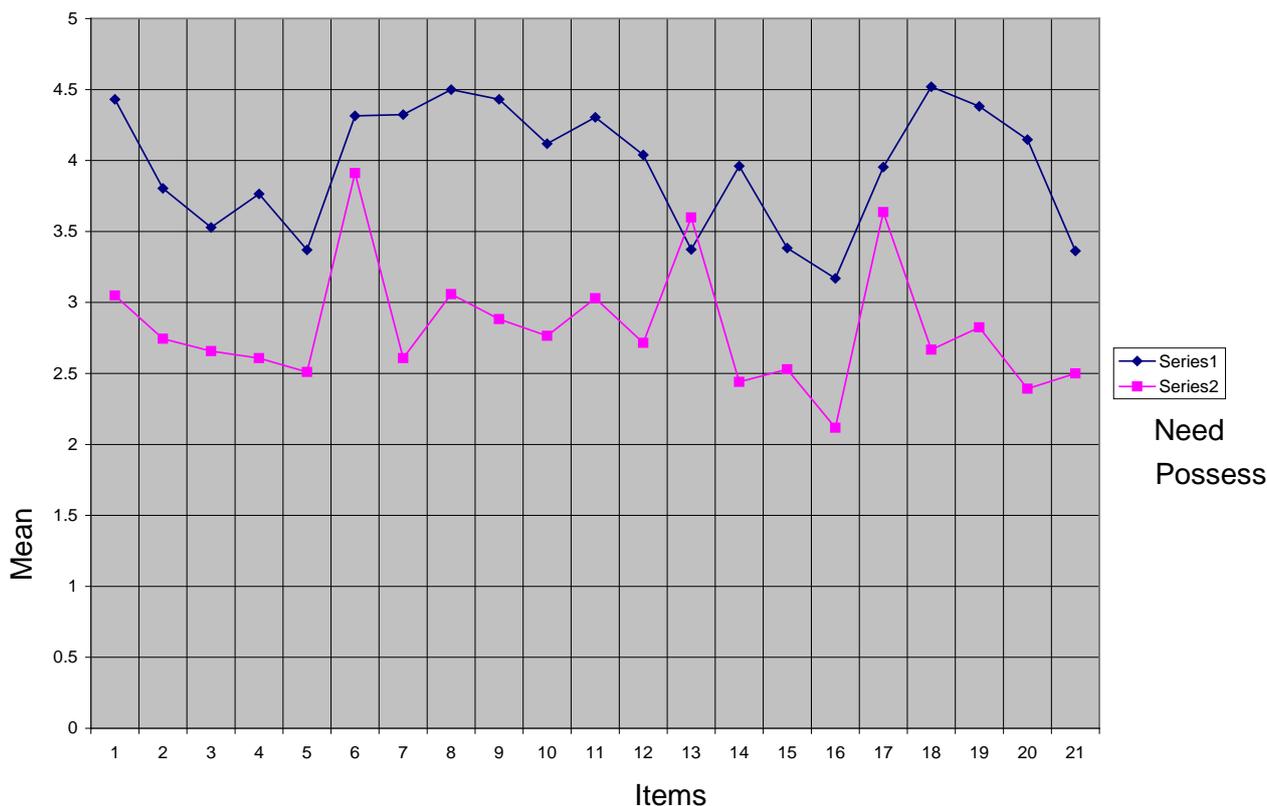
**Research Question 2:** What are the technical skills possessed by technical teachers in building technology in South-South Nigeria?

**Table 2: Technical Training Skill Possessed by Technical Teachers in Building Technology in South-South Nigeria.**

N	Technical skill needs in building technology	Mean $\bar{X}_2$	Standard deviation	Decision
1	Building drawing skills (manual and computer)	2.045	1.879	Not Possessed
2	Surveying, landscaping and site preparation skills	2.745	1.152	Not possessed
3	Foundation skills	2.657	0.822	Not possessed
4	Ability to use machines for construction	2.608	1.230	Not possessed
5	Ability to use hand tools for practical work	2.510	0.968	Not possessed
6	Brick and block laying skills	2.911	0.887	Not Possessed
7	Roofing skills	2.608	1.059	Not possessed
8	Masonry skills in building	2.559	1.543	Possessed
9	Concreting and reinforcement skills	2.882	0.963	Not possessed
19	Carpentry and Joinery skills	2.765	1.113	Not possessed
11	Final Finishes skills	2.221	1.990	Not Possessed
12	Plumbing skills	2.716	0.890	Not possessed
13	Ability to organize laboratory/ workshop practical	2.518	1.930	Not Possessed
14	Structural construction skills	2.441	0.914	Not possessed
15	Entrepreneurial skills	2.529	0.936	Not possessed
16	Information and communication (ICT) skills	2.118	0.993	Not possessed
17	Industrial training skills	2.789	1.571	Not Possessed
18	Upholstery skills	2.667	0.911	Not possessed
19	Decoration skills	2.824	0.944	Not possessed
20	Soft ware skills for analysis of practical tests	2.392	0.992	Not possessed
21	Knowledge of current technical books, journals magazines and monographs	2.500	1.007	Not possessed

Table 2 reveals that in all the 21 items on technical skills, respondents' opinion is that the building technology teachers do not possess the skills. However, a clear picture is presented by Figure 2 that all the technical skills are needed as there is a clear gap between the skills needed and skills possessed by the building technology teacher. Table 2 shows that the technical training skills are lowly or moderately possessed by the technical teachers in all the 21 items on technical training skills. The technical skills that are moderately possessed but not up to 3.00 are building drawing skills (manual

and computer), brick and block laying skills and masonry skills in building. Others are final Finishes skills, ability to organize laboratory/ workshop practical, industrial training skills.



**Figure 2: Characteristic Curve of the Responses to Items 1=21 on Technical Skills of Technical Teachers in South-South Nigeria**

**Hypothesis I:** There is no significance difference in the mean ratings of technical teachers from the six states on the technical skills possessed by building technology teachers in South-South of Nigeria.

**Table 3: Technical Training Skills Possessed of Building Technology Teachers in Technical Colleges in the States in South-South Nigeria.**

N	Technical skills possessed in building technology	Edo	Delta	Rivers	Bayelsa	Akwa-Ibom	Cross River
1	Ability to use building drawing skills (manual and computer)	3.227	3.294	3.188	3.286	3.379	3.364
2	Ability to use surveying, landscaping and site preparation skills	2.455	2.471	2.313	2.286	2.621	2.455
3	Ability to use foundation skills	3.409	3.471	3.250	2.571	3.345	3.182
4	Ability to use machines for construction	2.545	2.471	2.438	2.143	2.655	2.364
5	Ability to use hand tools for practical work	3.136	3.176	3.000	2.286	2.966	2.545
6	Ability to use brick and block Laying skills	3.045	3.059	2.750	2.286	3.138	2.455
7	Ability to use roofing skills	2.818	2.765	2.765	2.286	2.759	2.636
8	Ability to use mansory skills in building	3.273	3.118	2.750	2.857	3.241	3.000

9	Ability to use concreting and reinforcement skills	2.727	2.765	2.688	2.143	2.690	2.545
10	Ability to use carpentry and joinery skills	3.045	3.000	2.688	2.143	3.069	2.364
11	Ability to use final finishes skills	3.182	3.118	2.688	2.286	3.172	2.545
12	Ability to use plumbing skills	3.227	3.294	3.188	3.286	3.379	3.364
13	Ability to organize laboratory/workshop practicals	2.455	2.471	2.313	2.286	2.621	2.455
14	Ability to use structural construction skills	3.409	3.471	3.250	2.571	3.345	3.182
15	Ability to use entrepreneurial skills	2.545	2.471	2.438	2.143	2.655	2.364
16	Ability to use information and communication (ICT) skills	3.091	3.000	2.750	2.571	3.200	2.636
17	Ability to use industrial training skills	2.909	2.941	2.875	2.714	2.862	2.727
18	Ability to use upholstery skills	3.364	3.529	3.375	3.286	3.414	3.364
19	Ability to use decoration skills	3.227	3.353	3.250	3.571	3.310	3.455
20	Ability to use soft ware skills for analysis of practical tests	2.591	2.588	2.438	2.571	2.552	2.545
21	Using knowledge of current technical books, journals magazines and monographs	2.682	2.824	2.750	2.857	2.862	2.909

Anova: Single Factor: Possess

#### SUMMARY

<i>Groups</i>	<i>Count</i>	<i>Sum</i>	<i>Average</i>	<i>Variance</i>
Edo	21	62.362	2.970	0.107
Delta	21	62.65	2.983	0.126
Rivers	21	59.145	2.816	0.110
Bayelsa	21	54.429	2.593	0.196
Akwa-Ibom	21	63.235	3.011	0.093
Cross River	21	58.456	2.784	0.148

#### ANOVA

<i>Source of Variation</i>	<i>SS</i>	<i>Df</i>	<i>MS</i>	<i>F</i>	<i>P-value</i>	<i>F crit.</i>
Between Groups	2.724	5	0.545	4.191	0.002	2.290
Within Groups	15.600	120	0.130			
Total	18.322	125				

In the case of table 3, the ANOVA analysis of the means showed that P-value of 0.0002, which is less than 0.05 or the calculated F value is greater than the critical F value, hypothesis I is rejected, indicating that there is significance difference in the mean ratings of technical teachers on the technical training skills possessed by building technology teachers between and within the States in South-South Nigeria.

**Hypothesis II:** There is no significance difference in the mean ratings of technical teachers on the technical training skill needs by building technology teachers in the States in South-South of Nigeria

**Table 4: Technical Training Skill Needs of Building Technology Teachers in Technical Colleges in the States in South-South Nigeria.**

N	Technical skill needs in building technology	Edo	Delta	Rivers	Bayelsa	Akwa-Ibom	Cross River
1	Ability to use building drawing skills (manual and computer)	4.455	4.412	4.438	4.714	4.207	4.455
2	Ability to use surveying, landscaping and site preparation skills	3.864	3.824	3.875	3.571	3.690	4.000
3	Ability to use foundation skills	3.636	3.588	3.438	3.714	3.655	3.364
4	Ability to use machines for construction	3.773	3.882	3.688	3.714	3.655	3.909
5	Ability to use hand tools for practical work	4.045	3.412	3.500	3.286	3.483	3.182
6	Ability to use brick and block Laying skills	4.273	4.353	4.250	4.571	3.966	4.455
7	Ability to use roofing skills	4.318	4.412	4.250	4.286	4.0690	4.364
8	Ability to use masonry skills in building	4.455	4.588	4.563	4.857	4.207	4.727
9	Ability to use concreting and reinforcement skills	4.318	4.529	4.438	4.429	3.966	4.636
10	Ability to use carpentry and joinery skills	4.136	4.176	4.000	4.286	4.034	4.182
11	Ability to use final finishes skills	4.227	4.412	4.313	4.714	4.034	4.545
12	Ability to use plumbing skills	4.182	4.235	3.938	3.714	3.828	4.273
13	Ability to organize laboratory/workshop practicals	4.227	4.412	4.438	3.857	4.414	4.364
14	Ability to use structural construction skills	3.955	3.824	3.750	3.714	3.621	3.818
15	Ability to use entrepreneurial skills	2.318	2.294	2.563	2.286	2.483	2.286
16	Ability to use information and communication (ICT) skills	3.120	3.412	3.188	3.286	3.345	3.091
17	Ability to use industrial training skills	4.227	4.176	4.125	3.857	4.207	4.182
18	Ability to use upholstery skills	4.182	4.294	4.188	3.857	4.310	3.818
19	Ability to use decoration skills	4.182	4.412	3.875	4.286	3.897	3.909
20	Ability to use soft ware skills for analysis of practical tests	4.045	4.000	3.813	4.143	3.931	3.909
21	Using knowledge of current technical books, journals magazines and monographs	3.455	3.471	3.313	3.429	3.483	3.091

Anova: Single Factor: Skill gap

**SUMMARY**

<i>Groups</i>	<i>Count</i>	<i>Sum</i>	<i>Average</i>	<i>Variance</i>
Edo	21	83.393	3.971	0.253
Delta	21	84.118	4.006	0.296
Rivers	21	81.944	3.902	0.248

Bayelsa	21	82.571	3.932	0.364
Akwa-Ibom	21	80.485	3.833	0.180
Cross River	21	82.560	3.931	0.385

ANOVA						
<i>Source of Variation</i>	<i>SS</i>	<i>df</i>	<i>MS</i>	<i>F</i>	<i>P-value</i>	<i>F crit</i>
Between Groups	0.371	5	0.074	0.258	0.935	2.290
Within Groups	34.541	120	0.288			
Total	34.912	125				

The ANOVA analysis of the means in table 4 showed that p-value of 0.935 is greater than 0.05 or the calculated F value is less than the critical F value; hypothesis II is accepted indicating that there is no significance difference in the mean ratings of technical teachers on the technical training skill needs by building technology teachers between and within the States in South-South Nigeria.

### Summary of Findings

The findings can be summarized as follows:

The study indicated that all the 21 items of the technical skills are needed by the building technology teachers. This data reaffirm the fact that there are skill shortages among technical teachers in south-south Nigeria. Technical skills are lowly possessed by the building technology teachers in all the 21 items on technical training skills. There is a clear gap between the skills needed and skills possessed by the building technology teachers in south-south Nigeria.

Hypothesis I is accepted indicating that there is no significance difference in the mean ratings of technical teachers on the technical skill needs by building technology teachers in the States in South-South technical Nigeria

Hypothesis II is rejected indicating that there is significance difference in the mean ratings of technical teachers on the technical training skills possessed by building technology teachers in the States in South-South Nigeria.

### Conclusion:

The existence of skill gap in technical teachers, particularly those in building technology is currently having a wide spread negative impact on both the teachers and craftsmen in terms of functions and productivity in work place. Lack of attention to tackle the gap will make the young recruits less attractive to employers, resulting in higher unemployment and greater difficulty in improving production to enhance the economy. The major reason for this study is to identify the skill gaps between technical skill needs and technical skill possessed by technical teachers in building technology in South-South Nigeria.

### Recommendations

- Building technology teachers in technical colleges should be exposed to in-service training in other to update areas where there are skill shortages and this will help to check skill deficiencies (both teaching and technical) in the teachers.
- There is need for the government to provide facilities, machinery, tools and consumables in the various technical colleges needed by building technology teachers to actualize their skills as well as fulfilling the aim of technical education, which is producing individuals that are self-reliant.
- To enhance technical skills, there should be equal provision of material resources in technical colleges which should be base on the ratio of teachers to students in respective of the location of the technical college in Nigeria.
- Emphasis should be laid on technical skill training rather than theory in other to bridge the gap between theory and practice by adequate provision of workshops and laboratories at the university to enhance adequate practical work while the teachers are on training.

- Out of the 21 items on the skills needed by the technical teachers in building technology, all items are needed by the technical teachers. Based on this result, universities offering building technology should review their curriculum to reflect the skills needed.

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## TEXTUAL MATERIAL VARIABLES AS CORRELATE OF STUDENTS' ACHIEVEMENT IN MATHEMATICS

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### Abstract:

Textbook is the learning aid closest to the students and the closest teaching aid to the teachers. It is one of the factors responsible for low or dwindling achievement of students in mathematics. With its paramount position in the classroom teaching-learning process, the few researchers on textbooks globally reported that textbook has been understudied. This is one of the few studies along the line of content analysis of mathematics textbooks. This study is a descriptive survey which considered the correlation of the textual material variables and its predictive capability on students' achievement in mathematics. The study was carried out in the 6 states of south-west zone of Nigeria. Senior school students ( $n = 2,490$ ) were selected on stratified random sampling technique along the senatorial districts of each state. Mathematics teachers ( $n = 117$ ) were purposively selected in the same schools as respondents. Two instruments Recommended Mathematics Textbook Rating Scale ( $r = 0.79$ ) and Mathematics Achievement Test ( $r = 0.71$ ) were used to collect data from teachers and students respectively. Multiple regression was used for data analysis. The result reveals that the four independent variables (availability, relevance, suitability and adequacy of textbook features) had positive multiple correlation ( $R = 0.342$ ) with students' achievement in mathematics. The independent variables made significant contribution ( $F_{4, 116} = 3.704$ ;  $p < 0.05$ ) to the tune of 8.5% of total variance on students' achievement in mathematics. None of the variables could predict students' achievement in mathematics because none of the variables independently made significant contribution to students' achievement in mathematics. This indicates the mutual importance of these four variables and should be taken together to enhance mathematics achievement. Mathematics textbooks should cover the scope documented in the curriculum with relevant contents and standard of activities and tasks which caters for learners of various intellectual capabilities.

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**Key Words:** Variables, Achievement, Textbook Analysis, Mathematics Textbook, Correlate

### Introduction

Textbook is imperative to schooling and school programme. To the teachers, it is a major source of lesson preparation, to check up for theorems, proofs, formulae, take up assignments, tests and examinations (Kajander and Lovric, 2009). It is a primary source of document (Kajander, 2007). It also serves major source of learning tools for the students, for their studies, home works and questions (Kajander and Lovric, 2009).

Efforts have been put into research on mathematics teaching methods by many researchers such as Douville and Pugalee (2003), on learning difficulties by Sharma (2001), we rarely think about studying the textbooks themselves (Kajander and Lovric, 2009). Hence, few researchers on mathematics textbooks exist (Johansson, 2003; Afolabi, 2010; Pugalee, 2001; Morgan, 1998).

One of the principal directions in which research on mathematics textbooks have existed is that on content analysis. Afolabi (2010) has identified four types of mathematics textbook content analysis. Pepin and Haggerty (2001), Valverde (2002), TIMSS(1994/95) studied content analysis by distinguishing textbooks according to countries, Harries and Sutherland(1999), Li (2000), project 2061 of AAAS (2000) studied content analysis using bench-mark approach (i.e. restriction to some selected mathematics concept). Content analysis has also taken the form of comparing how adherence the textbooks are towards the official goals and objectives of mathematics education as could be found in the works of Chandler and Brosnan (1995), Afolabi (2010). Lastly, the research of Johansson

(2003) on content analysis of mathematics textbook which deals with content analysis of a series of mathematics textbooks over a trend of time in which many editions have existed. In such case the contents in various editions were compared.

The mathematics content to be learnt is the heart of the matter; thus, it dictates what other parameters will serve as enabling factors that have to come around it in learning through textbook. The parameters considered in this study include the 'objective'. The topical, sub-topical objectives accessibility to students, fulfilment of the intention of senior secondary school (SSS) mathematics curriculum.

The content- if there are prerequisite knowledge or not, organization and sequential hierarchy of concepts, worked examples, content of teachers' guide, students' workbook, are they available? Are they relevant, suitable or adequate when compared with the expectations and the intentions of SSS mathematics curriculum?

Learners' Activities: asked if learning activities are created or suggested. Are they practical oriented, learners centred?

Evaluation: Are there accurate answers to exercises, relevance of tasks to worked examples, are they structurally progressive, hierarchical? Provision for individual differences-weak and brilliant students, volume and standard of tasks, order of tasks in terms of depth of knowledge and coverage of the curriculum.

Presentation format: deals with Psychological dimensions which can appeal to learners interest. These are: colour, photographs, pictures, illustrations, font type, font size, gender illustrations, accessibility unhindered by cost or quantity.

Language of presentation: Assessment of the language of instruction, language of the subject matter, how short and simplified, correctness of spellings, communicative ability of the language of instruction and the language of the subject matter.

Other parameters examined include hierarchy of tasks, worked examples, solutions/keys to exercises teachers' guide, and students' workbook.

These parameters were measured in comparison with the goals and objectives or intentions of SSS mathematics curriculum. These were measured under four (4) principal variables- 1) the availability of the above parameters in the textbooks. 2) Their relevance to the set curriculum. 3) Their suitability for the curriculum. 4) The adequacy of measures. Considering the needed high level of in-depth acquaintance with the textbook, to be able to give valid responses, the mathematics teachers who *have used* the textbooks for some years (at least three years) were considered eligible to respond to the items, unlike Project 2061 (2000) that made use of expert mathematics researchers, mathematics teachers and mathematics educators who were not necessarily users of the textbooks.

This study is also similar to that of project 2061 (AAAS 2001) in that some of these textbook features were also used as their parameter for mathematics textbook analysis. This study is also in line with Chandler and Brosnan (1995) in that it investigated the adherence of the textbooks towards official goals and objectives (requirements) of senior school mathematics curriculum).

All the parameters were measured under the 4 variables in terms of their availability relevance, suitability and adequacy. Availability of these parameters was measured as present or absent. Relevance has to do with whether these features are relevant to the demand of the curriculum and the extent of their relevance. Suitability measures the standard of the content as not below or above it. It is a measure of appropriateness with the target audience. Adequacy of features measures scope of coverage, either sufficiently enough or not as demanded by the mathematics curriculum. Johansson (2003) summarily concluded that the approach of textbook analysis is a function of questions to be answered.

It is not only instructional strategies (Ogunbiyi, 2004; Afolabi, 2001) or teachers' characteristics (Yara, 2008) that can affect mathematics achievement, researchers such as Douville and Pugalee (2003), Ilori (2003), Okwilagwe (2001), Afolabi (2010) have also identified textbook as one of the factors for students' decline or poor achievement in mathematics. Textbook presentation in relation to gender affects achievement (Chibuogwu, 2006; Owolabi and Onafowokan, 2001) in mathematics. Halai (2010) opined that curriculum content especially textbook does also reinforce gender stereotypes in mathematics. He also reported Shah and Ashraf (2006), Halai (2006) that deep-rooted cultural and social biases about gender roles and expectations permeate textbook and teachers'

thinking in Pakistan. These do indicate that the effect of textbook on mathematics achievement is a worldwide phenomenon. Pugalee (1997), Kenyon (1989), Tobias (1989) reported that writing has been found to be inherently related to the development of metacognitive behaviours.

This study considered how the textbook variables have affected mathematics achievement. The study considered the relationships that exist among the textbook variables. It also considered the joint effect of the variables on mathematics achievement and also how each of them could relate or predict mathematics achievement. In the study textual materials refers to the recommended and used mathematics textbook by the teachers and students.

### **Research Questions**

The following research questions have been answered by the study.

1. What is the composite contribute of textual material variables (availability of textbook factors, relevance of textbook factors, suitability of textbook factors, adequacy of the factors) to students' achievement in mathematics?
2. What is the relative contribution of;
  - (i) Availability of textbook factors
  - (ii) Relevance of textbook factors
  - (iii) Suitability of textbook factors
  - (iv) Adequacy of the factors to students' achievement in mathematics?
3. Which of the textual material variables will predict students' achievement in mathematics?

### **Methodology and procedure**

The study is a descriptive survey carried out in 6 states of south-west zone of Nigeria. A total of 2,490 senior school students were selected following a stratified order along the senatorial axis in each state. Two schools were randomly selected from each senatorial district. (There are 3 senatorial districts in each state). Teachers (n=117) were purposely selected with the following criteria: (1) they have taught the students with the textbook in the same school (2) they are teachers of senior school students (3) they are mathematics teachers (4) they have used all the series in the book.

The data were collected by the researcher and his assistants over a period of about twelve weeks.

### **Instrumentation**

Two instruments were used for data collection after validation, trial tested and ascertaining the reliability of the instruments.

1. The Recommended Mathematics Textbook Rating Scale (REMTERS) was an instrument used for the teachers. They were to respond on the availability, relevance, suitability and adequacy of features of the textbooks presented. These features were summarised under 11 attributes which include: statement of objectives, content, learners' activities, evaluation, presentation format, language, hierarchy of tasks and that of examples, worked examples, solutions/keys to exercises, teachers' guide and students' workbook.

Each variable had different response format. Availability of the features had 2 response formats (available, not available) while relevance, suitability and adequacy had 3 response formats. Availability was scored as '0' and '1' for not available and available respectively. While 3 other variables were scored as 0,1,2, based on the degree of presence of the attribute. The reliability coefficient of availability section was 0.79 while other sections had 0.76 with Cronbach Alpha.

2. Mathematics Achievement Test (MAT) was a carefully drawn instrument with 40 multiple choice questions (options A-E). Table of specification was used to select these items. Instrument was trial tested on students of this level but outside the used sample. The internal coefficient of consistency yielded 0.71 (KR-20). Only 25 relevant items remained for MAT.

## Findings and discussions

### Correlation of Variables

**Table 1: Matrix of Correlation of Independent Variables on Dependent Variable**

	<b>Avail.</b>	<b>Relev.</b>	<b>Suitab.</b>	<b>Adeq.</b>	<b>Ach.</b>
<b>Avail.</b>	1				
<b>Relev.</b>	.400**	1			
<b>Suitab.</b>	.070	.605**	1		
<b>Adeq.</b>	.212*	.580**	.699**	1	
<b>Ach.</b>	-.047	.261**	.230*	.272**	1

\* Correlation is sig. at 0.05 level (2\_tailed) \*\* Correlation is sig. at 0.01 level (2\_tailed)

Table 1 shows the correlation matrix among the variables. The table revealed the correlation between each pair of variables. It also revealed the strength of correlation (correlation coefficient,  $r$ ) between each pair. Those pairs of variables that are significant at 0.01 (2-tailed) are indicated (\*\*) and those that are further significant at 0.05 (2-tailed) are indicated (\*). As it is normative in behavioural science to use 0.05 level of significance, this has been chosen here for decision.

There is significant correlation between adequacy of textbook features and availability of textbook features,  $r = 0.212$ . There is significant correlation between suitability of textbook features and achievement,  $r = 0.230$ . These are the only two pairs of variables that are significantly correlated.

### Research Question One

What are the composite and relative contributes of textual material variables (availability of textbook factors, relevance of textbook factors, suitability of textbook factors, adequacy of the factors) to students' achievement in mathematics?

**Table 2: Regression Analysis of Variance of Textual Material Variables on Students Achievement in Mathematics**

<b>R = .342                      R<sup>2</sup> = .117</b> <b>Adjusted R<sup>2</sup> = .085        S.E = 3.0272</b>					
<b>Source of variation</b>	<b>Sum of square</b>	<b>Df</b>	<b>Mean</b>	<b>F</b>	<b>Sig. F</b>
<b>Regression</b>	<b>135.766</b>	<b>4</b>	<b>33.941</b>	<b>3.704</b>	<b>.007*</b>
<b>Residual</b>	<b>1026.342</b>	<b>112</b>	<b>9.164</b>		
<b>Total</b>	<b>1162.108</b>	<b>116</b>			

\* Sig. at  $p < 0.05$

Table 2 shows that the multiple regression correlation coefficient ( $R$ ) which indicates the relationship among textual material variables (availability, relevance, suitability and adequacy of textbook features) and students' achievement in Mathematics is 0.342. This implies that there is positive relationship among the textual material variables and students' achievement in Mathematics.  $R^2 = 0.117$  and adjusted  $R^2$  is 0.085. This indicates that the four textual material variables have jointly contributed 8.5% to total variance of students' achievement in Mathematics.

The table also reveals the linear relationship among textual material variables and students' achievement in Mathematics. The regression ANOVA  $F(4,116) = 3.704$ ;  $p < 0.05$ . It means that there is significant composite contribution of these four textual material variables on Mathematics achievement when taken together. It implies that a combination of textual material factors is significantly related to student achievement in mathematics.

### Research Question Two:

- What is the relative contribution of;
- (i) Availability of textbook factors
  - (ii) Relevance of textbook factors

(iii) Suitability of textbook factors

(iv) Adequacy of the factors to students' achievement in mathematics?

**Table 3: Relative Contributions of each of the Textual Material Variables on Students' Achievement in Mathematics.**

Independent variables (Predictors)	Unstandardized coefficients		Standardized coefficients	Rank	T	Sig. t
	B	Std Error	Beta			
(Constant)	-6.242	1.580			3.952	.000
Availability of textbook features	-.153	.083	-.185	3 <sup>rd</sup>	-1.839	.068
Relevance of textbook features	.099	.051	.247	1 <sup>st</sup>	1.936	.055
Suitability of textbook features	-.018	.053	-.046	4 <sup>th</sup>	-.339	.735
Adequacy of textbook features	.053	.034	.200	2 <sup>nd</sup>	1.540	.126

Beta weights which indicate the relative contributions of textual material variables on students' achievement in Mathematics are shown in table 3. The contribution of each of the predictor to criteria variable (Mathematics achievement) are: availability of textbook features:  $\beta = -.185$ , ( $p > 0.05$ ); relevance of textbook features:  $\beta = .247$ , ( $p > 0.05$ ); suitability of textbook features:  $\beta = -.046$  ( $p > 0.05$ ); adequacy of textbook features:  $\beta = .200$ , ( $p > 0.05$ ). Relevance of textbook features is having the highest contribution to students' achievement in Mathematics, suitability being the least contributor. However, none of the four variables have significant relative contribution to students' achievement in Mathematics.

### Research Question Three

Which of the textual material variables will predict students' achievement in mathematics?

From table 3, none of the textual material variable has impacted enough as to predict students' achievement in mathematics, since none of them could make a significant relative contribution. It therefore implies that the four variables must be taken together.

### Discussion

The four textual material variables investigated are availability, relevance, suitability and adequacy of textbook features in consonance with SSS Mathematics curriculum and for desirable learning achievements. The textbook features examined under these four variables are eleven. These are (1) *objectives* –learners' access to topical objectives, sub topical objectives, fulfilment of the objectives of SSS Mathematics curriculum (2) *content* – necessary prerequisite idea or skill, sequential order of contents, answers to exercises, worked examples and exercises in relation to SSS Mathematics curriculum, hierarchy of examples, arrangement of topics and sub-topic in appropriate hierarchy of knowledge, worked examples in relation to exercises, content coverage: of final examination syllabus, of SSS Mathematics curriculum (3) *Learners' activities*– avenue created for students learning activities in the course of the lesson, suggested learners' activities, practical oriented activities, learner-centred activities, (4) *lesson evaluation* – remediation and accurate answers to exercises, exercises in relation to worked examples, progressive hierarchy of exercises, exercises for weak students, exercises for brilliant students, number and variety of exercises, standard of exercise, exercises' coverage of SSCE, systematic arrangement of exercises in order of in-depth of knowledge. (5) *Presentation format* – attractive pattern of layout, motivating presentation /outlook, photographs, pictures and diagrams, multiple colours, attractiveness, gender illustration/representation, students' accessibility unhindered by cost and quantity. (6) *Language* –familiarity, simplicity, communication ability of language of instruction and of the subject matter. (7) *Progressive hierarchy of tasks* – examples and exercises (8) *Worked examples* (9) *Solutions/keys to exercises* (10) *Teachers' guide/manual* (11) *Students' workbook*.

The four variables taken together had a positive correlation with students' achievement in Mathematics. They jointly made significant contribution to students' achievement in Mathematics. The result obviously appeals to logical reasoning. In that if the textbooks have the necessary features described above, their relevance, suitability and adequacy can be measured. This finding indicates that the relevance of the textbook features are as important as the appropriateness of the standard (suitability) for the users to whom it is recommended. No matter the relevance of a textbook in terms of addressing the requirement of the curriculum content, the issue of meeting the need and standard of the target audience is very paramount. The relevance of the textbook may be baseless if the standard of the material is too low or too high. Low standard can cause boredom while that which is too high above the ability of the students can put off the learner. An appropriate textbook should possess well graded activities and tasks of various standard for all levels of achievers, be it low, medium or high achievers. The importance of adequacy of the textbook features which defines the coverage of the stipulated concepts in content and in context (enabling psychological factors such as features on presentation format, language etc) is also revealed like any other variables. Without adequate coverage of the content of the curriculum using such textbook will make both the students and teachers to leave many stones unturned. It is clear that the examining bodies will consider the contents expected to be learnt through the objectives set in the curriculum and not the textbook. It is a recommended textbook (in school use) with full and complete coverage of these features that can enhance high achievement.

In this study, none of the variables on its own made significant relative contribution to achievement even though the relevance of textbook features did greatly impact much contribution which is not statistically significant. The implication of this to Mathematics achievement is that all these four factors are to be essentially considered to ensure high achievement. All the four are to be taken together to enhance achievement because they are equally important. This explains why all the four variables made significant composite contribution to mathematics achievement and none of them made relative significant contribution to student achievement.

These findings are in line with the recommendations of Kochhar (1985) and the findings of Sousa (2001), Douville and Pugalee (2003) who said simple and clear language, pictures and diagrams should be used in illustration of ideas in textbooks. Books that are made available in enough quantity with low cost will afford accessibility. The findings also imply that textbooks with very relevant and very adequate content coverage, meaningful learners' activities, and well graded evaluation exercises with good presentation format will increase achievement.

### **Conclusion and recommendations**

There is positive linear relationship between the textual material variables and student achievement in mathematics. The four variables jointly contributed 8.5% to students' achievement in mathematics. The joint contribution of the four variables is significant at 0.05 level. None of the textual material variables could contribute at 0.05 level of significance as to predict students' achievement in mathematics. The four variables must be taken together in subsequent studies. Mathematics textbooks should cover the documented scope required by the curriculum, providing appropriate tasks for all categories of students.

### **Limitation and Further Studies:**

Teachers are the assessors or evaluations of the textbooks, this is credible but the students might have access to some textbooks or teaching materials that are not recommended or used by the school. Thus the types of books and materials culminate and had in one way or the other enhanced students' achievement. For further one may make the students to analyse the textbooks as well and then correlate this with their achievement. This is recommended as area for further studies.

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## THE SOCIAL TREATMENT OF EX-DROPOUTS WHO REENROLLED IN SECONDARY SCHOOL IN SOUTH AFRICA

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### Abstract:

Dropout recovery and return to school is increasingly becoming an education access priority for governments in both the western and non-western worlds. In a qualitative investigation involving a sample of dropouts who had re-enrolled in secondary school in South Africa, this study explored antisocial aspects in their social experiences at school. The aim was to explore the social treatment of ex-dropout who re-enrolled in secondary school and discuss ways to help them reintegrate in the school community. The study revealed that the major antisocial aspects in dropout experience were prejudice and social hostility, expressed through experiences of social ostracism, isolation, categorisation and rejection. This was motivated by a matrix of intersecting modern and traditional forces. Relational and physical aggressions, which occurred in response to dropout out-group labelling and categorisation, were major factors in the social interactions. The evidence of hostility and reactions substantiated previous studies. The various implications of the findings for the school climate were highlighted. The study stressed that for dropouts to reintegrate, the entire school culture that condones social categorisation, relational or physical aggression against them, needs to be altered.

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**Key Words:** Social Interaction, Dropout Reenrolment, Ostracism, Aggression, School

### Introduction

Dropout recovery and return to school is increasingly an education access priority for governments in both the western and non-western worlds. In Africa, although the number of school-age children enrolment in secondary school has increased over the past decade (UNESCO, 2010), school attendance has been marked by systemic weaknesses. Grade repetition and drop out are examples of such weaknesses (Brown, 2010). Whereas in the OECD countries, almost 100 percent of the students enrol in secondary education, and whereas almost 80 percent of them go on to complete their schooling, the situation in Africa and Latin America is different. In these regions, about 50 percent of the students who enrol in secondary school; of this number, less than a third completes (Carlson, 2012). The majority of the world's dropouts can be found in the non-western world.

The cohort of dropouts is characterised by both temporary and permanent leavers. In the non-western world, the dropouts who return to secondary school are those who quit school temporarily. In countries such as South Africa, these re-enrolled dropouts have had little opportunity to be heard by school councillors, psychologists and educators because either the support service is non-existent or there is a staff shortage to respond adequately to the demand for the service (Raymond, 2008). Reintegration is complex. When dropouts return to school, they join a school community in which teaching and learning continued even in their absence. As dropouts, they are required to catch up on what they missed out on while they had been out of school. Many dropouts may find it challenging to reintegrate in the school community – that is, to return to learning/teaching life in the social space at school. Scholars such as Brown (2012) and Maharaj, Kaufman, and Richter (2000) reported that it is not uncommon that dropouts are given social labels. Yet the extent to which dropouts are ostracised or treated antisocially in school in South Africa where dropout incidence are relatively high, especially at the Grade 9 level (Brown, 2010; Brown, 2012) has been given little attention in research.

By contrast, most of the attention has been given in research to issues such as dropping out trends and determinants (Rumberger & Lamb, 1998), dropout reenrolment hindrance and enablers (Berliner, Barrat, Fong & Shirk, 2008; Bushnik, Barr-Telford & Bussière, 2004), and the return-to-

school, by gender (Raymond, 2008) of dropouts. These areas have been studied extensively. Variation in dropout adjustment to the social environment at school is downplayed in the drop out literature.

The present study explored the social treatment of dropout (i.e., constructive or antisocial reactions) who returned to secondary school and discuss ways to help these students reintegrate in the school community. Presumably, social experiences are shaped in socio-cultural and economic systems as well as by intrinsic personality traits. These ideas eventually become differentiated and coalesce into what De Wet (2007) calls a sense of “in-group and out-group” identity. In-group /out-group binaries have relevance in this study. It can reflect how dropouts might be perceived and treated. The study was limited to the social treatment of dropout because, from a practitioner’s point of view, being aware of these conditions can allow the identification of problem areas to dropout reintegration, and possible steps to take for change. Accordingly, being aware of the social treatment of the dropouts can shed light on possible areas for improvement at a school policy level. Since it is impossible to pay constant attention to individual dropout cases and circumstances at school, antisocial treatments might be minimised or avoided if the perpetrators can be confronted and made aware of their roles.

### **Social treatment**

The decision to return to school is a big personal decision for ex-dropouts. Staying out of school would have had detrimental economic and personal costs for the individual. Bridgeland, DiIulio and Morison (2006) found that a dropout who fails to complete school is much more likely than their mates who completed to be unemployed, living in poverty conditions, be in prison, getting government living assistance, and has children who drop out from school themselves. However, the decision to return to school puts ex-dropouts in a position of strain. At school, ex-dropouts are much more likely than other students to spend more time trying to catch up in the school curriculum. Depending on the duration of the time spent out of school, ex-dropouts are much more likely than other students to be older and more mature in class. The maturity level can lead the ex-dropouts to develop feelings of being outliers, or for others to treat them as outliers, in class (Briffa, 2010).

When ex-dropouts return to school, they re-join a school environment which is social by nature. The reaction towards the ex-dropouts may be pleasant and welcoming, or it may be hostile. Hostile social treatment may manifest in various forms, including stereotyping, prejudice, discrimination, scapegoating, rejection, and isolation (Briffa, 2010). The reception that an ex-dropout receives at school has a great influence on the sense of community that he/she develops – that is, his/her feelings of belonging to the school community (Furman, 2002). Stronger feeling of belonging is associated with pleasant and welcoming treatments.

The mere fact that an ex-dropout re-joins the school community does not necessarily mean that he/she is accepted by all his/her peers. Early scholars such as Tajfel (1970) advised that a community is not necessarily homogenous, because the community may be polarised by a variety of social ills that result from prejudices. Polarization of a social community leads to the formation of cleaves, which Tajfel (1970) and others (Briffa, 2010; De Wit, 2007) referred to as ‘in-groups’ and ‘out-groups’. Various characteristics found in previous studies on dropouts may influence how the dropouts may be perceived in the school community. For instance, the literature on dropouts asserts that dropouts are individuals with a history of behavioural, attitudinal, school, and/or life event problems such as academic failure; disinterest in school; and delinquency. These problems may also include life event challenges such as poor health, pregnancy, or having to care for ill family member (Brown, 2010; 2012; Bridgeland et al, 2006; Reyna, 2011). These views of dropouts can influence how they are treated when they return to school.

It is not uncommon within the African context to find that dropouts are treated in ways associated to the cause of dropping out of school (Reyna, 2011). When a student drops out of school due to financial constraints, for example, the child is likely to be viewed by his/her peers as poor and living in poverty conditions. Valorisation of such social label may lead to prejudice towards the dropout. The social label ascribed to the individual does not necessarily disappear when the individual returns to school. In some culture, Brown (2005) asserts that many people living in poverty are told that they are ‘...no-good, inadequate, dirty, incompetent and stupid’, so they may (or should) expect

failure of themselves, just as the world expects it of them (Ross & Roberts in Brown, 2005:396). In South Africa, wealth suggests prestige while poverty reflects a sorry condition of a person's life. These commentaries do have the potential to impact profoundly on the self-esteem of a learner who drops out of school and return later.

The return of ex-dropouts to a school community creates the existence of another group, relative to those students who never dropped out. Tajfel (1970) and others (e.g., Brewer, 1997; Goldstein, Young & Boyd, 2008) have argued that the mere perception of the existence of another group can itself produce discrimination. To De Wit (2007), discrimination is a behavioural expression of prejudice. As social practice, both prejudice and discrimination are interlinked. Prejudice is an evoked response. Briffa (2010) found that prejudice is an attitude (usually negative) toward the 'other', purely on the basis of membership to the 'other group'. Sentiments of 'in-group' and 'out-group' may develop in a school community with relative number of ex-dropouts and other students who never dropped out. Studies have yet to explore whether the above does or does not occur with regards to ex-dropouts in the South African secondary school context.

### **The context of ex-dropout reenrolment in South Africa**

Who is a dropout has always been a contested issue. This is largely because there has been no agreement on what qualifies as the out-of-school time duration, nor on what the circumstances that led to the disruption in schooling should be. Different countries have different requirements. In South Africa, dropouts are individuals whose education has been disrupted, at least temporarily (at least one month) or permanently (never to return). The disruption is caused not by institutionally imposed sanctions but rather by personal circumstances. Outside of this, the absence is disregarded as a drop out incident. It means therefore that cases of student suspension or expulsion are excluded from the drop out category. This distinction helps with clarifying decisions about who qualifies, or not, as ex-dropout participants.

The return of ex-dropouts to school in South Africa is part of effort to expand education access and redress apartheid era inequalities. While incidence of student drop out is high, with approximately 551,000 students estimated to drop out of school before Grade 12 each year (Kraak in Brown, 2010:10), South Africa has made deliberate efforts to re-admit ex-dropouts (Motala et al, 2007). Unlike in many other country globally, in South Africa, there is a policy in place since 1996, which allows girls who dropped out of school due to pregnancy related reasons to return to school after giving birth, if these young mothers can manage to do so logistically and financially (Grant & Hallman, 2006). This policy has been informally upheld by school principals even prior to 1996. Students who dropped out of school for reasons other than pregnancy, such as poor health, financial distress, and/or violence, are also able to return to secondary school to complete their education. Successful reintegration of ex-dropouts is a key priority.

In South Africa, incidence of drop out is relative high throughout the secondary school cycle. In secondary schools, drop out and reenrolment are most common at Grades 8, 9, 10 and 11 (Brown, 2010; Motala et al, 2007). As a result, it is quite common to find classes at different Grade levels with high number of ex-dropouts. In 2011/12, the annual school monitoring report revealed that in populated provinces such as Gauteng, Kwa Zulu Natal, Eastern Cape, as much as five percent of the student enrolment in 8, 9, 10 and 11 were ex-dropouts (ASMR, 2012). Furthermore, demographically, both male and female students make up the pool of ex-dropouts in secondary schools, with schools serving the historically disadvantaged black communities experiencing the highest incidents of drop out and re-enrolment attempts (ASMR, 2012; Grant & Hallman, 2006).

Evidently, the presence of ex-dropouts in the secondary school environment is a reality that teachers, principals and peers have to face. The assumption among education stakeholders has always been that ex-dropouts are able to reintegrate with relative ease back into school and continue as normal with their learning. The literature on peer interpersonal relationship and social labelling hints that reintegration may not be as we initially thought. The quality of the social treatment that ex-dropouts experience has broader implications for not just how they learn but also how they adjust as individuals. Consequently, the social treatment that they experience cannot be downplayed. This study therefore investigated:

- The social treatment practices of peers and teachers towards ex-dropout in secondary schools;
- The ways to help ex-dropouts successfully reintegrate into the school community.

### **Methodology**

The study utilized an exploratory, qualitative approach because such approach has been shown in the past to be a useful way to study any sensitive opinions, attitudes, preferences, and behaviours related to constructive or antisocial issues, particularly when the opinions might be reflections of larger underlying attitudinal constructs. The social identity theory of intergroup relations informed this study. The social identity theory looks at the categorisation of social groups and considers group membership and competition a source of intergroup conflict and discrimination (Knippenberg, 2002). In other words, group membership creates in-group/self-categorisation and enhancement in ways that favour the in-group, at the expense of the out-group (Knippenberg, 2002). The Tajfel and Turner (1986) model of social identity theory exemplifies this approach. Having a particular social identity means being at one with a certain group, being like others in the group, seeing things from the group's perspective, and the consequences thereof (Tajfel & Turner, 1986). The social aspects that dropouts experienced at school can provide a sense of whether or not they are categorised and whether they experienced any aspect of prejudice against them.

### **Sample and method**

The study involved a sample of eight ex-dropouts who re-enrolled at school. The sample comprised five females and three males were all Black South Africa mainly because of the schools (previous disadvantaged schools) selected, conveniently. Sample was selected from Grade 9, 10 and 11 Band. The convenience sampling method is highly valid and commonly used in the education field for data collection (Brown, 2010; Grant & Hallman, 2006; Motala et al, 2007). The average age of these participants was 17. They had been out of school for periods ranging from 6 to 20 months. The anonymity of all the participants was assured by having them responding in the interview without declaring their personal information. The use of coded themes, and pseudonyms in reporting the findings contributed to improving confidentiality.

Data was collected through personal interviews, which were conducted face-to-face. These were in-depth, but the interview schedule was semi-structured. Interviews were tape recorded to ensure adequate verbatim accounts. All interviews were tape-recorded and transcribed verbatim, with one question kick-started the process: "*Tell me about your social experiences with teachers/peers at school since re-enrolling*" Probing questions followed; however, the process involved not just probing but also reflecting (e.g. "*Could you tell me more about...*"). In this way, the contents of each interview were determined by the participants. Data analysis was thematic, involving identifying recurrent themes (Corbin & Strauss, 1990), linked to the objectives investigated. The findings are presented and discussed below.

### **Findings and Discussion**

The social experience of the participants was diverse and complex. The dropouts re-joined school but their experience was marked by social hostility.

#### **Experience of ostracism and isolation**

According to the interviews, hostility was expressed largely in experiences of ostracism and isolation. As discussed below, the motivation for ostracising the dropouts was complex, but appears mainly related to the factors that pushed these individuals out of school. In particular, the study identified 'life events' such as HIV/AIDS related issues, delinquency, and family tragedy as conditions for increasing the likelihood of anti-sociality towards the dropouts who re-joined the school community. These experiences appear to lower their self-esteem and impact on their emotions. This point was well captured in the sentiments of one participant:

Some of them [the learners] gave me a tough time. They saw me as *HIV infected* because I was taking care of [my] sick sister who had HIV/AIDS. They do not want to socialise with me

because they thought I am infected. I felt sad and angry... It made me furious... they [learners] diagnosed me without testing me... they know nothing about the pain I felt watching AIDS destroy my sister. They don't know that I am not infected but affected. [Mavuso]

In this case, reenrolment resulted in clear discrimination. To be discriminated against is to be categorised, ignored and excluded. However, the motivation to discriminate appears to differ. For Mavuso above, it was a prejudicial assumption. But for others, like Mmeli, it was academic weakness; he noted: *'I have no friends; nobody wants to be my friend in class... my school is an unfriendly environment; they [learners] ignored me as if I did not exist.... they chased me away... they think am useless for the reason that I am weak academically.... it makes me sad'* [Mmeli]. In addition, Thembu experienced family tragedy and it motivated prejudicial behaviour against him:

They [learners] teased and stigmatised me because my father murdered my mother. They joked about the death of my mother... and called me "son of a murderer". School-life is hard now... I'm punished because of my father's sins. They [learners] don't want me to be in their class... I don't take part in sport... they don't want to play with me... I'm neglected. They say bad things about my family. [Thembu]

These examples are typical of the manner in which antisocial behaviour emerges in social interactions with 're-enrolled dropouts' in the school community. In these examples, prejudice is a result of group interaction and group membership, rather than group competition.

Thus, although they re-enrolled in school, and posed no obvious threat to others, the dropouts were ostracized. Exclusion and social labelling are evidence of relational aggression (Briffa, 2010). Ostracism breaks down attachment, and in this case it seems their [dropouts] attachment to colleagues was severed. This is illustrated by the characterised hate, neglect, ridicule and/or isolation that Thembu, like the others, experienced.

The social categorization and labelling of the 're-enrolled dropouts' are illustrations of antisocial aspects. To understand these findings, it is helpful to make comparison with previous research into the origin of prejudice in intergroup interactions. Social identity theory (see Tajfel, 1970) explains that individuals isolate others to out-group when out-group members decrease their self-esteem. Social identity is the individual's self-concept derived from perceived membership of social groups (Hogg & Vaughan, 2002). In other words, it is an individual-based perception of what defines the "us" associated with internalized group membership.

Previous research on social identity asserts that categorisation is an act of, and a precursor to, discrimination (Bodenhausen & Peery, 2009) and is intended to separate. Thus, one outcome of categorisation is the formation of in-groups and out-groups (Tajfel, 1970). Ostracism is an indication that the 're-enrolled dropouts' were categorised and relegated to an out-group status.

The motive to relegate the re-enrolled dropouts to an out-group status may be related to multiple factors. On the one hand, fear of the dropouts, and on the other, a quest by other students to safeguard their self-esteem, given the stigma associated with some dropouts may have contributed to the categorisation. Their categorisation may also be driven by particular motives that were socially constructed and historically located within a matrix of intersecting postmodern and traditional factors. For instance, the fear of contracting HIV from someone who merely cared for an HIV/AIDS victim is connected to a misconception in many parts of Africa, South Africa included, which suggests that a person can catch the HIV virus by merely interacting with an HIV/AIDS victim (Kachieng, 2004). Likewise, social labels such as the 'son-of-a-murderer', carries extremely negative connotations in traditional African society as the son is viewed as deserving the same punishment as the father (Chiamaka, 2010).

Thus, the withdrawal of these re-enrolled dropouts and from the others such as Mmeli who confessed to being academically weak was perhaps a strategy to protect self-esteem, on the one hand, and to fulfil implicit traditional expectations, on the other. Consistent with Brewer's (1979) optimal distinctiveness model of social identity, social discrimination was motivated, not by competition or conflict, but solely by a quest to see the re-enrolled dropouts as separate (i.e., ingroup preference) in the absence of any negative affect or hostile intent toward them (re-enrolled dropouts). However, there was a reaction to the exclusion.

### Rejection of the negative evaluation

From the interview data, we can see that the dropouts acted in response to the outgroup accentuation experienced when they returned to school. Their reaction was a rejection of the negative evaluation ascribed. The more exposed they became to acts of ostracism and isolation, the more steadfast and ardent the re-enrolled dropouts were to repel the negative treatment. For example, Zanoxolo and Nambita lamented, respectively:

I was in a gang and used to rob people. I think they [other students] treated me different because they are afraid of me. I am bossy and I felt nothing... I was abusive [to them] silently but I didn't care since they labelled me. [Zanoxolo]

Nambita was equally forthright:

I quitted school due to my pregnancy but when I came back, I had to be bossy to them [other students] because they had a way of 'looking down' on you. My teachers avoided me because of my behaviour... they know I would beat them up [Nambita]

There is clear aggression in these responses, though physical – as reflected in the bullying and threatening of others. Aggression has been defined as 'a category of behaviour that causes or threatens harm to others' (Briffa, 2010, p.19), or that 'increases the status of the aggressor' (Hawley & Vaughn, 2003). In other words, the re-enrolled dropouts rejected the out-group identity and treatment, by virtue perhaps of the inherent harm that it posed. This action shifts these individuals from victims to perpetrators in the intergroup confrontation. Thus, a key antisocial aspect in the experience of re-enrolled dropouts who rejected the out-group identity in the school community is calculated aggression, encompassing a variety of behaviours, including bullying.

Though physical aggression occurred, it was not the only form of reaction to the in-group negative bias. According to the interviews, there were also instances when relational aggression was adopted. Relational aggression involved self-isolation. When Thelma observed the manner in which she was treated by her peers in the school community, she deliberately detached herself from them. She noted:

I isolated myself from them [other students]...they think that I see myself as a better person than they are...they see me as the person who knows everything... when I try to help them with class work, they don't accept my assistance, and I am unable to ask them for assistance because they think that I'm just 'testing' their knowledge. [Thelma]

In each of the cases, it appears that the aggressive behaviour did not reflect discipline problems, or disengagement from school but rather a reaction to an immediate serious stressor. To be 'looked down upon' or be 'treated differently' was to be micrified and viewed as the other. In the end, the outcome was provocation. Thus, in terms of out-group reactions to in-group bias, the above findings complement previous research into the intergroup confrontation process (e.g., Dasgupta et al 2009; Bodenhausen & Peery, 2009). Dasgupta et al (2009) argue that intergroup aggression is a by-product of in-group bias whereby challenges and threats to out-group beliefs/values provoke aggression towards the in-group. A key lesson is that experience in interacting with students who never dropped out of school helped returnee dropouts to identify socially discomforting behaviours that pose a challenge or threat to their self-esteem, and thus, to adapt in the school context. The decision to face up to the sources of the threat may be sensible, given that, as Cant, Llop and Field (2006) maintain, the best way to prevent anyone from negatively affecting one's self esteem is to confront them to refute their position.

In the quotes from the data, the responses to the in-group negative bias revealed two different approaches, expressed in simple words: "I isolated myself" versus "I was abusive". These two approaches followed gender cleavage. Whereas the self-isolation was reported by females, direct aggression was reported by males. In other words, Thelma's response to the in-group negative bias was in a different form from the responses of the others. While it may be a case of socially cultured and experienced individuals consciously analysed a situation, and subsequently chose the appropriate behaviour to make the best out of the interaction, the gender pattern in the response is in accordance with previous research into aggression. These studies have shown that girls are more likely than boys to use 'relational aggression', i.e., verbal and indirect aggression, such as, isolation, alienation, ostracism, character defamation and gossip (Bettencourt, Talley, Benjamin & Valentine, 2006;

Keenan & Shaw, 1997). In addition, boys are more likely than girls to engage in both direct aggressive and antisocial behaviour (Keenan & Shaw, 1997; Lahey, Schwab-Stone, Goodman, Rathouz, Miller, Canino, Bird, Jensen & Waldman, 1998; Coie & Dodge, 1998). Thus, a key lesson that can be learnt from the findings is that the reaction of re-enrolled dropouts of different gender to antisocial tendencies directed at them by virtue of being perceived as out-groups may take different forms.

### **Discussion: Implications of ostracism and aggression for dropout reintegration**

The findings of the study illustrate that intergroup interaction between the re-enrolled dropouts and other students, categorised as in-group and out-group, was marked by tension. Consistent with social psychological theories (Hogg & Vaughan, 2002), group membership and group interaction were sufficient to motivate acts of hostility, expressed in terms of ostracism, isolation, and social labelling. The prejudicial behaviour against the returnee dropouts motivated counter reactions, expressed in different forms of aggression in the school community. These antisocial aspects have resulted in re-enrolled dropouts being categorized as controversial in socio-metric status.

Based on the evidence above, this study has revealed two conditions in the intergroup interaction that have wider long term implications for dropout reintegration into the school community. First, the condition of social categorisation (e.g., as in-group vs. out-group; perpetrators vs. victims of ostracism/isolation); and secondly, the condition of social and relational aggression: expressed in terms of social labelling, name calling, ostracism, isolation, and bullying.

### **Social categorisation and dropout reintegration**

The effects of social categorisation and identification are pervasive and powerful. Social psychologists such as Brewer have reported that while humanity often undertakes social categorisation as a necessity, it can lead - when its intention is negative - to a range of biases toward corresponding out-groups (Brewer, 1997). The indication in this study that the re-enrolled dropouts have been labelled, teased and ostracised suggests that their social categorisation had vicious intent. Since initial differentiations, however arbitrary, beget further social differentiation (Brewer, 1997), the danger is that, without some deliberate effort to breakdown the segmentation experienced, social differentiation against the re-enrolled dropout could persist unabated. If this is the case, this has important implications for the contents of interventions training. For example, intervention can no longer focus on cooperation, but will now have to include social skills training, and on finding the ideal social 'niche' for the re-enrolled dropouts. Both the perpetrators and the victims must be targeted to learn how to interact in positive ways.

The fact that the re-enrolled dropouts have been cast as out-group suggests that they may have been both highly liked (probably by fellow out-group friends) and highly disliked (probably by in-group perpetrators) by their schoolmates. While social structure and individual psychology converge to make feelings of like or dislike an inevitable feature of social life, in a school context the situation is often different. Sometimes attitudes of dislike are short-lived, and at other times are transitory. Social psychologists are of the view that in such instances, the consequences on social development are minimal (McLeod, 2008). However, because social development is honed in interaction with others overtime (Brown, 2010), long-term exposure to rejection, neglect, isolation or being disliked has lifelong consequences, including deficits in social development – poor self-esteem, social withdrawal – and dislike of school (Hogg & Vaughan, 2002). The evidence in this study of a participant, who, under the stress of antisocial relations at school, commented, “...*I hate to see even the [school] buildings, let alone the people in them*” [Mmeli], appears to illustrate the effect of such consequence.

Years of research into school climates suggests that students strive best in a school context that is defined by a sense of community, which is defined as the feeling of belonging in a group as a whole (Pooley, Breen, Pike, Cohen & Drew, 2008). For the re-enrolled dropouts, social categorisation is anti-reintegration into the school community. The maintenance of social boundaries mediates opportunities for cooperation, imitation, interdependence or even mild positivity.

Furthermore, prolonged maintenance of social cleavages provides fertile ground for anti-community building behaviours such as indifference, disdain, or hatred. Since students spend a

considerable amount of time at school, belonging is considered to be a precursor of a stable school experience (Erktin, Okcabol & Ural, 2010). Although the sense of belonging is linked to, *inter alia*, respect for teachers, participation, academic success, and liking school (Furman, 2002), this research suggests that experience of ostracism and the feelings of isolation meant that the re-enrolled dropouts did not feel a sense of belonging in the school community. Students who feel isolated are more likely to fail (Beck & Malley, 1998), which is disturbing because previous research has shown that academic failure is a major cause of drop out (Brown, 2010; 2012; Chuang, 1997; Erktin et al, 2010). Unless the situation of social segmentation is reversed, and a strong sense of community is actively cultivated and supported, there is a risk that the re-enrolled dropouts could be pushed out and become victims of repeat drop out.

School authorities need to take a greater role in reintegrating re-enrolled dropouts in the school community. Merely affixing their names to the enrolment list is insufficient because dropouts-who-returned are unlike other students. The findings of this study clearly show some of the experiences that these individuals go through upon returning to school. The social categorisation of those acknowledged as "re-enrolled dropouts", and those that fall outside that boundary, by implication stereotyped the returnee dropouts. This is because social categorisation goes hand in hand with the stereotyping process (Bodenhausen & Peery, 2009). A stereotype is "...a fixed, over generalised belief about a particular group or class of people" (McLeod, 2008, p1). The perception that re-enrolled dropouts are a failure was a salient thread that tied them together. As one participant in this study noted, "...they [other students] all believe we are failures" [Mmeli]. Perception that dropouts are delinquents and time-wasters is common in South African literature and is echoed in homes and on the street (Brown, 2010; 2012). One of the roles that school offices need to take in reintegrating dropouts who have returned to school is to implement measures to alleviate stereotypic tendencies and attitudes.

### **Relational aggression and dropout reintegration**

In addition to the influence that social categorisation has on dropouts, the case study data in this research also highlighted relational aggression as a key force that further influenced both the wider school climate and dropout reintegration. Relational aggression was a major factor in the social categorisation of re-enrolled dropouts. These behaviours were of three distinct categories: social alienation/ostracism (i.e., giving peers the silent treatment), rejection (i.e., telling rumours and ascribing social labels), and social exclusion (i.e., excluding peers from social or play groups). These findings provide some support for the social identity theory of negative reciprocity (Tajfel, 1982; Tajfel & Turner, 1986), and for the optimal distinctiveness theory of the need for inclusion in a larger social collective (Brewer, 1991). As dropouts returned to school, their drive for inclusion within the school community aroused but appeared frustrated by behaviours of differentiation from other schoolmates.

Unsupported, dropouts cannot reintegrate into a school community in which they are either victims or perpetrators of relational aggression. One of the main reasons is that relational aggression is distressing and harmful for both the victims and the perpetrators (Stejskal, 2010). Although no specific test of association between relationally aggressive behaviours and maladjustments was done in this study, many dropouts reported feelings of hurt and distress as a result of their experience of being ostracised, neglected and ridiculed.

Many social and psychological problems have been attributed in previous studies to relational aggression and victimization, particularly among females (Borgia & Myers, 2010; Keith & Martin, 2005; Sullivan, 2006). Consequently, teachers and school principals should be very concerned about the occurrence of relational aggression involving dropouts and other students (who fall outside that category) because studies in the peer context have revealed that relational aggression interferes with key developmental tasks such as forming and maintaining intimate, close relationships with peers (Borgia & Myers, 2010; Crick, Casas, & Nelson, 2002). Victims of relational aggression are more likely to experience social difficulties, including being depressed, lonely, anxious, and socially isolated from their peers (Borgia & Myers, 2010; Keith & Martin, 2005; Sullivan, 2006). Other forms of maladjustment – such as internalizing and externalizing problems: e.g., increased delinquency, drugs and alcohol use – are also elevated among victims and perpetrators of relational aggression

(Stejskal, 2010; Sullivan, 2006). Thus, the implication is that if relational aggression among the students is not contained, it stands to sabotage dropout reintegration into the school community.

On a related note, teachers and school principals should be quite concerned about the occurrence of relational aggression (and in some cases physical aggression) in the school community because it can impact the broader school climate. It is shown in previous research on school violence that in schools with higher levels of relational aggression, students feel less safe (Goldstein, Young, & Boyd, 2008), and, by virtue of social learning, students are more likely to use relationally aggressive strategies to solve problems in classrooms with higher overall levels of relationally aggressive behaviours (Kuppens, Grietens, Onghena, Michiels, & Subramanian, 2008). The relational aggression reported in this study can lead to physical aggression (physical aggression has already been reported) within the school context. Thus, the intergroup hostility between these students may be a source of school violence.

Nevertheless, previous research highlighted key challenges with regards to detecting relational aggression, which teachers and school administrators cannot ignore. A challenge teachers and school administrators have is that they may not directly witness acts of relational aggression, given the covert nature of such aggression; they also have a challenge in determining their point of intervention given the delicate nature of relational aggression as some forms of it are viewed as 'normative for adolescents' (Yoon, Barton & Taiariol, 2004, p.305). Dialogue about, and education to detect signs of relational aggression is thus essential. Teachers and school administrators with developed knowledge of relational aggression are more likely to identify, manage and intervene during these destructive episodes. Relational aggression is powerful enough to influence school climate; equally, school climate can shape it. Thus, in order for dropouts to reintegrate, the entire school climate or culture that condones relational aggression needs to be altered. Along with teacher/school administering education and training programmes on relational aggression, a conscious effort to target the context of the relationship and situation in which the relational and physical aggression occurs is required.

## **Conclusion**

The study explored antisocial aspects in the social experience of dropouts re-enrolled in secondary school in South Africa. The aim was to demonstrate that antisocial behaviours targeted and defined the social experience of the dropouts who re-enrolled, and to highlight that the mere readmission of dropouts to school is not sufficient if they are to be successfully reintegrated into the school community. Evidence in the literature of the occurrence of re-enrolment of dropouts, and the urgency of building a sense of community in school in post-apartheid South Africa, prompted the empirical investigation.

The research found that the social experience of the participants was diverse and complex. The dropouts re-joined school but their experience was marked by social hostility, expressed in experiences of ostracism, isolation and rejection. In other words, as the dropouts returned to school, their drive for inclusion within the school community was aroused but frustrated by behaviours of social categorisation or differentiation and aggression by their schoolmates. These characterised the antisocial aspects that defined their social experiences. The relegation of these students to an out-group status was not only related to fear and self-esteem issues but also driven by particular motives which appear socially constructed and historically located within a matrix of intersecting modern and traditional forces. Relational and physical aggressions, which occurred in response to the out-group labelling, were major factors in the social categorisation of the re-enrolled dropouts. The reactions confirmed and substantiated previous studies.

Unless dropout reintegration is supported by a deliberate programme of intervention, aimed at getting them resettled into the school community, their school life will continue to be defined by prejudicial and hostile behaviours. The persistence of antisocial behaviours has several implications for the social and academic development of the re-enrolled dropouts such as interfering with key developmental tasks, social difficulties and maladjustments. The persistence of antisocial behaviours also has implications for the quality of the school climate that prevails in the school community. For dropouts to reintegrate, the entire school climate or culture that condones relational or physical

aggression needs to be altered. This can start through teacher and school wide antisocial intervention strategies, as well as strategies targeting the victims and perpetrators of the intergroup hostility.

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# THE MODERN METHODS OF MANAGEMENT EDUCATION

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## Abstract:

This paper concerns to the innovative approaches to the management education; it analyses the new progressive forms and methods of young managers' preparation at the bachelor and magister levels at the university study programs.

More specifically, this paper will focus on the interactive methods of Action Learning. In order to establish a better understanding of this problem, the paper will identify the core aspects of learning process as well as the advantages and drawbacks of selected interactive method. It describes the practical using of advanced learning methods and offers the results of observation and research completed at the Slovak Matej Bel University and the partners' universities involved in the common national and international projects.

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**Key Words:** Management education, Innovative methods, Case Studies, Action Learning

## Introduction:

Due to the frequent changes in the external environment such as social, economic and political changes, managers are dealing with the variety of problems, from the simple to the more complex ones. Most of the problems require new solutions created as the result of the participative and creative work of all employees.

To prepare their graduates to be the most effective in the practical life, the universities all over the world must implement the modern interactive and participative methods in the study programs, based on combination of theoretical knowledge and practical experiences.

There are number of methods and techniques which stimulate the self-management, problem-solving, creativity and autonomy of the students (Theodoulides, 2012). Their ability to turn the theory to the practical and innovative solution is possible to develop and improve by using the real life cases and Action Learning.

## 1. Action Learning

Learning is a process of improving performance by experiencing an activity or observing someone else experience that activity (Fernandez et al., 2004)

"A little knowledge that acts is worth more than much knowledge that is idle" (Bergeron, 2003). There is the crucial idea which defines and expresses the necessity and importance of active and participative learning methods.

Transactional distance theory suggests that traditional distance learning methods may not effectively support the type of dialogue typical during the social reflection process that happens in the Learning Set during Action Learning.

A lot of value of professional development is not realized when learning is not put into practice. Pfeffer and Sutton refer to this as the 'knowing-doing gap' (Pfeffer & Sutton, 1999).

One approach that addresses the knowing-doing gap whilst simultaneously developing skills for professional learning is Reg Revans' strategy called Action Learning in which learners apply what they are learning to real workplace challenges during the learning process.

Professor Reginald Revans is considered the father of action learning. He is the author of the formula:

$$L = P + Q$$

L = Learning, P = Programmed Knowledge, Q = Questioning Insight

Michael Marquardt (1999) expanded Revans's formula as follows:

$$L = P + Q + R$$

where R represents the reflection.

Mumford (1995) believes that action learning is so effective because it incorporates the following elements:

- Learning should mean learning to take effective action; this is the focus of action learning. Acquiring information and becoming better in diagnosing and analyzing have been overvalued in traditional study programs.
- Taking effective action necessarily involves actually taking action, not recommending action or undertaking an analysis of someone else's problem.
- The best form of action in order to learn is by means of working on a specific project or an on-going problem that is significant to the people themselves.
- People learn best with and from each other.
- As „colleagues in opportunity", people can share problems on which to take action.
- In action learning, the people providing help are crucially different than inexperienced professors found in many management study programs.
- Rather than being taught through case study or simulation, participants in action learning learn from exposure to real problems and to each other's insights.

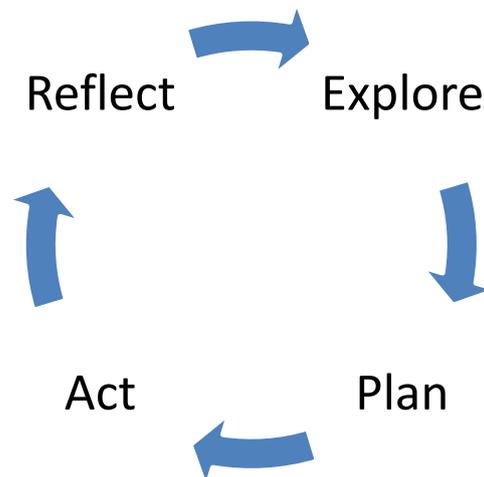


Fig.1 Action Learning  
Source: own processing

An Action Learning usually involves a cycle of three processes: plan, act and reflect or a cycle of four processes: explore, plan, act and reflect (Fig.1). Each of these stages has an important role to play in the overall Action Learning process. Each phase in the iterative cycle is dependent on the others and all are driven by the workplace project.

Throughout the Action Learning cycle, teachers are supported to learn deeply from their experience and sometimes add to their knowledge by learning new things "just-in-time" for solving issues or enhancing practice. At the heart of this learning strategy is the workplace problem, challenge, initiative or idea that participants tackle. The fact that the Action Learning is a continuing process describes Fig.2.

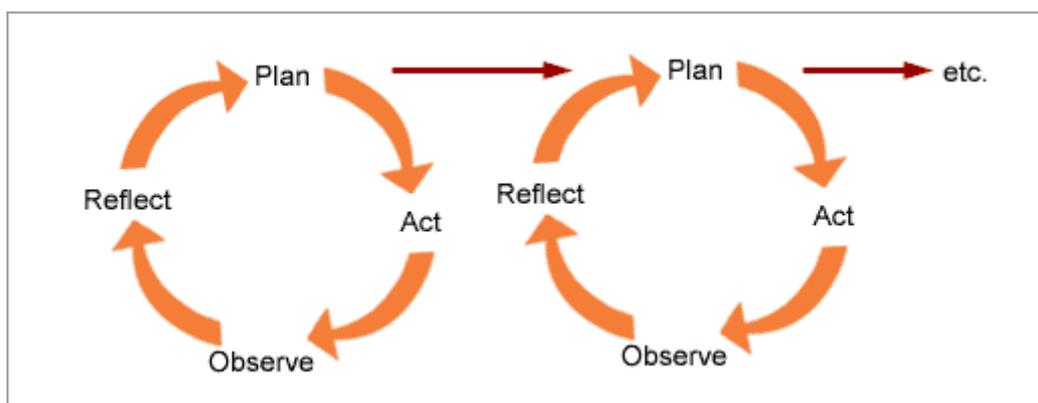


Fig.2 Continuing Process of Action Learning  
Source: adopted by <http://gramconsulting.com>

The method has many variations but the general process as described by the World Institute of Action Learning is based on these important components. They are as follows:

- A Problem (project, challenge, opportunity, issue or task) the problem should be urgent and significant and should be the responsibility of the team to resolve.
- An Action Learning group or team; ideally composed of 4-8 people who examine an organizational problem that has no easily identifiable solution.
- A process of insightful questioning and reflection. Action Learning tackles problems through a process of first asking questions to clarify the exact nature of the problem, reflecting and identifying possible solutions, and only then taking action. Questions build group dialogue and cohesiveness, generate innovative and systems thinking, and enhance learning results.
- An action taken on the problem. There is no real meaningful or practical learning until action is taken and reflected on. Action Learning requires that the group be able to take action on the problem it is addressing. If the group makes recommendations only, it loses its energy, creativity and commitment.

The research literature continually affirms that teachers learn best by focusing their attention on their own practices, trying new techniques, getting feedback, and observing and talking with fellow teachers in a supportive school environment (T. Downes, et al., 2001, p. 53).

Action Learning is regarded as a highly successful learning strategy for achieving active, inquiry-based teacher professional development that incorporates inquiry and reflective practice (T. Downes, et al., 2001). Action Learning has been used successfully as a professional development strategy by many types of organisations across the world including a diverse range of industries from coal mining to banking, from environmental action to travel agency management (Revans, 1998; Weinstein, 1999). Robert Kramer (2007a, 2007b, 2008) pioneered the use of action learning for officials in the U.S. government, and at the European Commission in Brussels and Luxembourg. He also introduced Action Learning to scientists at the European Environment Agency in Copenhagen and to officials of the Estonian government at the State Chancellery (Prime Minister's Office) in Tallinn, Estonia. ([www.wikipedia.org](http://www.wikipedia.org).)

Marquardt (2000) notes the Action learning has the power to provide both the best content (what) and the best methodology (how) for building the vital attributes of management and leadership for the twenty-first century. Leadership is built on the premise and expectation of getting things done. To take effective action is an essential task.

Action Learning is also used by the companies as diverse as Microsoft, Samsung, Dow, GE, Deutsche Bank, Boeing, Sodexo, Novartis, Nokia and many others to solve complex problems, develop leaders, build teams and expand corporate capability. Action Learning is employed at government, non-profit and non-governmental organizations such as the US Department of Agriculture, the American Red Cross, the McKay Foundation and the Fairfax County Public School System in Virginia, which is the 13th largest school district in the United States.

To summarize, we can consider the Action Learning one of the most spread an interactive method of education used both a) by the academic community and by b) „real business” in the various type of economic bodies all over the world. This method supplements or even replaces the conventional learning and teaching approaches and aims to the more effective preparation of the new managers and leaders for 21st century.

## **2 Innovative Methods in Management Study Program and Management Education**

Using the modern teaching and learning methods in the education process there is an essential requirement mentioned in European Commission Agenda represented by Bologna process and Lisbon Recognition Convention. The Bologna Process launched the European Higher Education Area in 2010.

In the Bucharest Communiqué, April 2012, the Ministers of EU countries responsible for higher education, identified three key priorities - mobility, employability and quality, and emphasized the importance of higher education for Europe's capacity to deal with the economic crisis and to contribute to growth and jobs. Ministers also committed to making automatic recognition of comparable academic degrees a long-term goal of the European Higher Education Area. The Bucharest Communiqué builds on the Leuven Communiqué of 2009, which established priorities for 2010-2020 ([http://ec.europa.eu/education/higher-education/bologna\\_en.htm](http://ec.europa.eu/education/higher-education/bologna_en.htm)):

1. Ensuring a quality higher education system
2. Adopting a two- or three-cycle system of study (BA, MA, PhD)
3. Promoting the mobility of students and academic and administrative staff
4. Introducing a credit system (ECTS) for the assessment of study performance
5. The Recognition of levels: adopting a system of easily identifiable and comparable levels
6. The Active involvement of higher education institutions, teachers and students in the Bologna Process and student participation in the management of higher education
7. Promoting a European dimension in higher education
8. Promoting the attractiveness of the European higher education area
9. Lifelong learning
10. A European higher education area and a European research area – two pillars of a society based on knowledge

The Bologna process is a collective effort of public authorities, universities, teachers and students, together with stakeholder associations, employers, quality assurance agencies, international organizations and institutions. Every second year, Ministers responsible for higher education in the 46 Bologna countries meet to measure progress and set priorities for action; the next meeting will be held in 2014.

### **2.1 Implementing Case Study method and Action Learning in Management study**

Started at the very beginning of 20th Century (1908) at Harvard University, the case study method (CSM) has become the favoured teaching tool of most of the world's leading business schools. The CSM describes real management issues in real organizations. Students are putting in the roles of decision-makers facing the problem or critical incident.

The next part of the paper presents the results, research outcomes, and personal experiences gathered and gained within thirteen years of pedagogical and research work in the field of management study and managerial practice. The implementation of modern interactive and participative teaching tools was investigated in many national and international projects and studies at our faculty. The examples of two of them as follows:

International project Erasmus titled Management through Autonomy (MANTRA 2006 -2008) was aimed to develop the common Master Study Program. Project participants were originated in four European Universities (Austria, Bulgaria, Poland and Slovakia - Faculty of Economics, Matej Bel University). Survey outcomes declare the necessity of increasing the graduates' social and managerial skills and abilities as follows:

- Discussing

- Negotiating
- Critical Thinking
- Argumentation
- Decision-making
- Self-management
- Creativity
- Problem-solving
- Team work

National KEGA project titled *Innovative Management in Knowledge-based Economy* completed at 2009 investigated the using of innovative teaching tools and methods by the teachers of our faculty. The respondents – 89 faculty lecturers – answered the questionnaire and majority of them (67%) approved using of interactive and participative learning approach. The teachers named the most popular and the most spread tools and methods: discussion (75%), case study (69%), model situation (53%), poster presentation (15%), and world café (8%).

Pioneered at the Faculty of Law Matej Bel University (MBU), CSM has been also used in learning process at Faculty of Economics MBU, since 1994. (Sekova, Durian, 2001). At the beginning, the only foreign companies' cases have been exercised in teaching the management subjects (Corporate Management, Strategic Management, and Human Resources Management).

An absence of case studies reflecting the real economic, political, and financial situation at the “domestic”, Slovak companies obliged to innovation of case study method. The teacher started to implement the new model of case study method – so called “*active case study model*”. Students did not study and analyse the classical case studies created and written by the foreign authors; academics or managers; there is a distinctive “*passive case study model*”.

Basically, the new approach to case method was based on **Action Learning Model** and it can be described as a four-step process. (see Fig.3)

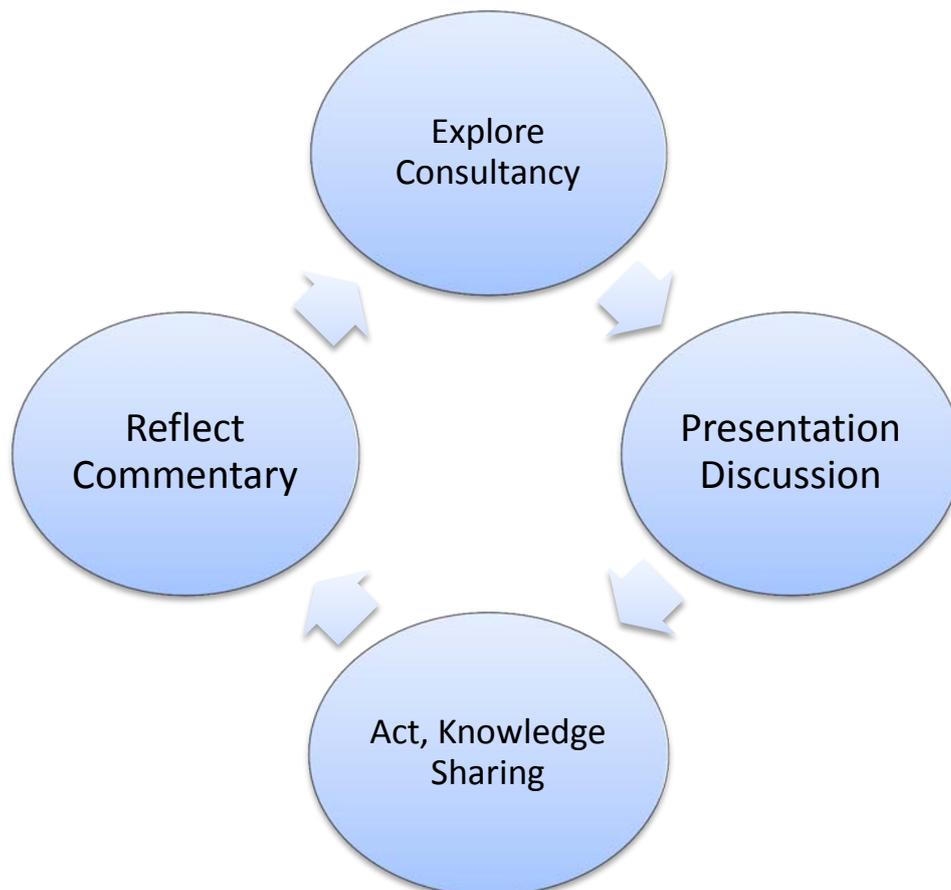


Fig. 3 Implementation of Action Learning Model in Case Study Method

Resource: own processing

In the **first step** students are required to contact and visit any Slovak or Czech company personally. Students worked in groups (4-6 members), and they had to talk and discuss with the managers of the company. They had to assemble enough information about the company's situation and present it during the lesson. Together with the other students in the class they tried to identify the problems, the "critical incidents". It's the **second phase** of the process.

**The third** step is about knowledge sharing, learning, and the problem-solving. The students searched for the solution, answered the questions, argued, explained and advocated their ideas and suggestions. Students are prompted to exploit their theoretical knowledge and turned them to **the action**. They must analyse the situation and express what they would do. They learn to persuade and inspire others, to reconcile differing viewpoints and to prioritize objectives.

The role of the teacher is to facilitate, "to coach", and to supervise this process. He or she, in the **fourth step**, reflects the classroom activities of the students, comments, and assesses the creativity, independence and goal-orientation of the students in particular case studies. Finally, the concrete students' solutions, proposals are discussed with the managers of the company and students have their feedback.

### Conclusion:

Management and leadership are built on the premise and expectation of getting things done. To take effective action is an essential task. Preparing the young managers is the hard work and teaching tools and method have to follow and fulfil the requirements of knowledge based economy.

Marquardt (2000) notes the Action learning has the power to provide both the best content (what) and the best methodology (how) for building the vital attributes of management and leadership. To employ the Action learning with the Case Study Method can be considered more innovative and more participative approach to management study.

In contrast to a lecture-based approach to education in these methods both, teachers and students, must be active and participative, to be ready, willing and able to learn and share the knowledge. Quoting Galileo Galilee: "You cannot teach a man anything; you can only help him to find it within himself."

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## CITIZENSHIP EDUCATION AND HISTORICAL MEMORY: REVIEW OF PATRIOTISM IN JAPANESE SCHOOLS

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### **Abstract:**

The current rise of patriotic ideals in Japanese school as a result of review of Fundamental Law of Education (1947), certification of nationalist textbooks from "Japanese Society for History Textbook Reform" (Atarashii Rekishi Kyōkasho o Tsukuru Kai [新しい歴史教科書をつくる会]) and the teachers' reactions against the State intervention and in favour of freedom of conscience have shown that historical memory management in teaching of History has an important role in Citizenship Education.

Making a brief review about configuration of Japanese Education System (shōgakkō [小学校], chūgakkō [中学校], kōtōgakkō [高等学校] and daigaku [大学]) from the Meiji era (1868 – 1912) to the present; we are going to understand the key elements that have currently promoted the entry of patriotism in Japanese schools. By the end of the 20th century, the cultivation of patriotism like educational goal had already become widespread among right-leaning interests under the leadership of the Liberal Democratic Party and through its revision to the official Curriculum Guidelines (Kondo y Wu, 2011). Controversy has increased in recent years since the flag of the Rising Sun and Kimi-gayo had become the national flag and anthem in 1999. Issues like these have mobilized national and international public opinion.

**Key Words:** Japan, Educational System, Textbooks, Historical Memory, Social Education

### **Evolution of Japanese Educational System: From Meiji Restoration to Early Showa Period**

At the beginning of Meiji Restoration (1868), Edo period [江戸時代] and Tokugawa shogunate (1603-1868) ends. Although that shogunate had brought peace and stability to Japan, It had also blocked the country's communication abroad. The first new Meiji government reform was the enactment of "Charter of Oath" that aimed to end the political exclusivity of military government in last shogunate (or bakufu) and to communicate Japan with foreign countries; in fact, the fourth clause promised to "explore the world in search of wisdom" (Bolitho, 1991). It also referred to reconciliation with the defeated for proper functioning of the new administration and for defense of education for all citizens, regardless of their social class (Beasley, 1995). During the Meiji era [明治時代] or "era of cult to rules" (1868 - 1912) it was created the Ministry of Education (1871) under Dajokan (State Council of the Japanese government). Similarly, in 1872, it was implemented the Law of the Education System, which proposed a school system based on the American model. In words of the founder of Keio University, Yukichi Fukuzawa, it was raised a curriculum guided by Western rationalism and utilitarian morality. Fukusawa (1835 - 1901) was officially recognized in Meiji era for his work in introduction of institutions and Western thought in Japan. In his collection of essays "*gakumon no susume*" (1872 - 1876; Shunsaku, Nishikawa and Masaki Komuro, 2009) proposed an education based on practical learning closer to ordinary needs, an idea that was expressed in the word "*jitsugaku*" (Nishikawa, 1993: 526). However, in first elementary schools, it was used translations of elementary American textbooks, showing a reality alien to Japanese people in an initial attempt to westernize the Japanese education (Onaha, 2008); to which was added a centralized control administration taken directly from France.

Despite efforts to decentralize education through enactment of the Education Order of 1879, it was modified in 1880, guiding a curriculum that strengthened centralization and conservative ideals. These ideals were embodied in the Imperial Edict of Education of 1890, which summarized the basic

principles of Japanese education, with evident Confucian ideals. In the words of Navarro Rodriguez and Serrano, “*children were taught to transmit the glory of fundamental character of the Empire and to capture and transmit the best traditions of ancestors. So it was a reaction to rapid westernization of the country and a desire to return to the purity of Japan*” (2008: 630). Those guidelines were lasted until 1945. Education became a powerful tool of indoctrination in obligatory education (first 6 years of primary school). Furthermore, the guidelines were also extended to secondary education in the early 1930s.

In the late nineteenth century, literacy and school attendance was extended. During the first decades of twentieth century, attention begins to focus on improving of quality of education, adopting in practice some John Dewey’s ideas (although with certain limitations). In relation to this issue, we highlight Masatarô Sawayanagi's work (1978). This pedagogue, born in 1865 and died in 1927, became director of Gakuen Seijou and he began to reorganize programs based on students' needs and everyday experiences; including, as Kobayashi says (1990): organizational and democratic participation. Meanwhile, Japan acquired a leading position in Asia as an empire with the annexation of Taiwan and Korea. Onaha (2008) adds that this situation resulted in colonial education policies that imposed Japanese language and discrimination of local teachers, who were not able to access management positions. This relationship of domination was justified with impulse of study of historical relations between Japan and the occupied territories.

In general, during Taisho period [大正时代] or "great rectitude period" (1912 - 1926), and years between 1926-1937 in Showa period [昭和时代] or "illustrated peace period" (1926 - 1989), despite of westernization of the Japanese educational system and the existence of some progressive experiences in schools, the government exercised a tight control to ensure traditional values and moral exaltation, and to inculcate loyalty to emperor through a militarized education policy (Beasley, 2007). This situation increased after demonstrations against patriotism curriculum of teachers and students, after Chinese Japanese War II in 1937 and after start of Pacific War in 1941; all under influence, in this case, who was Minister of Education since 1937 to 1938, the ultranationalist general of the Imperial Japanese Navy, Sadao Araki (1877-1966), who had previously been Minister of War since 1931 to 1934.

The surrender of Japan in World War II (1945) implied educational reforms imposed by government of U.S.A. occupation forces in Japan, with support of educational missions in 1946 and 1950. Some of those reforms were not sustained after Japan regained its sovereignty in 1952, but set the basis of Japanese education system after the war. That is, the creation of a Committee of State Coordination, Navy and War in 1945 continued with a document (108) which recommended abolition of military training courses, Japanese history and ethics, emperor worship, reverence toward the imperial palace, recitation of Imperial Edict of Education or exhibition of portraits of imperial couple (Takemae, 2003). The Imperial Edict of Education of 1890 was declared void and removed from schools in 1948, following the establishment of Fundamental Law of Education (1947). In accordance with the Constitution of Japan (1946), Fundamental Law of Education prohibited state intervention in religious education, guaranteed academic freedom and ensured the extension of right to free and compulsory basic education for all citizens. However, as Alexander Bukh (2007), from "*Japan Society for Promotion of Sciences*", reported: after defeat of Japan in Pacific War / East Asia (1931-1945 or 1937-1945, depending on whether we include or not the Manchurian Incident), incomplete reforms were carried out by the U.S.A. occupation forces. This led to a paradoxical situation in which faculty was set predominantly by progressive historians, while political and bureaucratic powers (including the Ministry of Education) were left intact. This ideological divergence revived conflicts that influenced on teaching of history and which were included in textbooks of 50s.

### **From North American Impositions To Impulse Of Patriotism: Fundamental Law Of Education (1947) And Its Revision**

The surrender of Japan in World War II (1945) resulted in a series of educational reforms imposed by government of U.S.A. occupation forces in Japan with support of educational missions conducted in 1946 and 1950. Some of these reforms were not sustained after Japan regained its sovereignty in 1952, but in any case, set the basis of the Japanese education system after the war. That

is, the creation of a State Coordination Committee, Navy and War in 1945, will continue to issue a document (108) which recommended the abolition of military training courses, Japanese history and ethics, emperor worship, reverence toward the imperial palace, the Imperial Edict recitation of Education or the exhibition of the portraits of the imperial couple (Takemae, 2003). The Imperial Edict of Education, 1890 was declared void and removed from schools in 1948 following the establishment of the Fundamental Law of Education (1947) that, in accordance with the Constitution of Japan (1946), prohibiting state intervention in religious education, guaranteeing academic freedom and ensured the extension of the right to free and compulsory basic education for all citizens. However, as reported by Alexander Bukh (2007) of the "*Japan Society for Promotion of Sciences*", after the defeat of Japan in the Pacific War / East Asia (1931-1945 or 1937-1945, depending on whether or not the Manchurian Incident), were carried out incomplete reforms by U.S.A. occupation forces. This led to a paradoxical situation in which faculty were set predominantly by progressive historians, while those political powers (including the Ministry of Education) and tape were left intact, they dominate the conservative forces. This ideological divergence revived a series of conflicts that influenced to teaching of history and which were embodied in textbooks of 50s.

Closer to structural aspects of curriculum, one of the most notable complementary laws would be Law of School Education (1947). This Law takes up proposal of the pedagogue Abe Shigetaka (Takemae, 2003). That organization of school education represent a model still valid today: elementary education (shôgakkô [小学校]) - 6 years; basic secondary education (Chûgakkô [中学校]) - 3 years, upper secondary education (kôtôgakkô [高等学校]) - 3 years and university education (daigaku [大学]) - 4 years. Elementary and basic secondary education (9 years) would become mandatory. If we compare Japanese and Spanish structure, first three stages correspond respectively to Primary Education, High school Education and Baccalaureate. According to the report PISA (2000 to 2006), and regardless of debate emerged about revision of Fundamental Law of Education of 1947, it exist a decline in academic performance of Japanese children. In 2002, implementation of selflearning, creative and more relaxed curricula also failed. Those would be some of conditions that, in 2006, would lead to the government enacted the first revision of this law. That revision includes guidelines for an education that instills civic enthusiasm, respect for traditions and culture, love of country and family, and about halt decline of learners knowledge. Obviously, under those reforms, curriculum also began to review in 2008, expanding learning times, knowledge and skills, among other issues (Web Japan, 2011). In 2012, new guidelines on the curriculum for primary schools were programmed to settle in and, in 2013, we expect similar changes for secondary education.

### **Textbooks As Tools Of "*Ideological Management*"**

During World War I, governments of various States realized about the great potential that textbooks could have as a tool of indoctrination and, in many cases, "*demonization of the enemy*". However, it would be in World War II when this trend radicalizes to the point of promotion of xenophobic textbooks. In essence, after departure of kings of most of Europe, leaders like Hitler, Lenin or Stalin started to adopt a role like messianic governors that exerted a strong influence on content of textbooks aimed to construction of ideologically partial conceptions about national citizenship (North, G., 2006). This situation tried to be unsuccessfully resolved by the League of Nations. After the World War II, UNESCO took over problems of xenophobia in textbooks with support of teachers. Lässig (2009) highlights the influence of Georg Eckert. That is, immediately after the war, this German historian organized a series of conferences to seek reconciliation with former enemies of Germany (France, Britain, Poland and Israel) through shared texts. Relevance of this initiative is that, today, textbooks of Social Education, Geography and History have become tools for developing of tolerance and social cohesion between countries.

About this requirement to encourage harmony and social cohesion in schools (national and supranational sphere) and in relation to characteristics of textbooks, it is pertinent to paraphrase William Mejjia, who says that "*for editors, producing and publishing a textbook is a challenge, because they must face up to the demands of school curricula, their possible interpretations, the tradition some teachers want to keep and the change that others demand, the dilemmas that result from the tensions between a profitable product that can sell well and the educational service that*

*requests quality in terms of teaching and content, the interests of different social groups and the careful treatment of genders, ethnic groups and political, religious and environmental movements, among others*" (Mejia, 2009: 467). Interest in textbooks as resources for socialization of future adult citizens is especially evident in case Social Science, Geography and History textbooks, whose contents and its use in classroom can facilitate the setup of a social reality determined by prevailing political force. This situation implies that textbooks in this area are always object to criticisms and, in this way, ideological factors emerging from them can be especially conflicting.

### **Controversy In Revision Of History Textbooks: The Birth Of "Tsukuru Kai"**

Omission of controversial issues or how they are represented in textbooks are two of key points that relate to inclusion of historical memory in teaching of history, a fact that determines a citizenship model to be trained for the present and the commitment that students will be willing to take for the future. However, despite the effort to transmit an apparently aseptic knowledge, these materials generate controversy, even they are able to affect to relations between countries. One of significant cases would be in Japan where different currents in textbooks settings collide: a progressive trend, which seeks understanding between countries through the critical analysis of historical memory, and a nationalist trend, which seeks to change the narrative of dark episodes in textbooks, for example, the slaughter of Nanjing that would be called "*Nanking Incident*" (Zhao and Hoge, 2006). This trend also tries to remove those episodes, for example, existence of "comfort women" in territories colonized by Japan (Nozaki, 2001) or it tries magnify military actions from the past as patriotic deeds (McNeill, 2005).

In essence, the conflict between revisionists and counter-revisionists today leaves evidence about importance of ideological aspects in teaching of history and interpretation of memory. By the way, we take as an significant example the case of ex - Prime Minister Shinzo Abe (2006 - 2007) who was a leader of conservative coalition of Liberal Democrats since 2006 and who showed a point of view of history consistent with his support (and former leader) to controversial revisionists narratives from "*Japanese Society for History Textbook Reform*" (Atarashii Rekishi Kyōkasho o Tsukuru Kai [新しい歴史教科書をつくる会]), commonly known like "*Tsukuru Kai*"; a point of view that was expressed in his book "*Utsukushī kuni e*" or "*to a beautiful nation*" (Abe, 2006). Tsukuru kai was established in 1997 and starred one of the greatest chapters in the current controversy over the teaching of history in Japan since 2001, when Japanese Ministry of Education (now Ministry of Education, Culture, Sports, Science and Technology) adopted a "*revised textbook*" from this society. Those revised History textbooks, which had a nationalist, conservative and partial character, mobilized public opinion and diplomatic policy of South Korea, China and Japan (Beal, Nozaki and Yang, 2001; Nozaki, 2008).

Nevertheless, David McNeil (2005), of Japan Policy Research Institute, says that "*Tsukuru Kai*" enjoys strong financial and political support and from conservative media. He also says that this association blames "*Marxists*" and "*feminist*" sectors the "*decline of national principles*". In this line, McNeill puts emphasis on the development of a conference organized in 2004 by "*Tsukuru Kai*" where it get to declare that Japan was not an aggressor during World War II, Japan fought to defend itself of United States and European powers; that Japan did not act as a colonizing country in Asia, Japan liberated to Asia of Western forces; and that the "*masochistic*" character in teaching of history has taken to young Japanese to a situation of moral decay. Nobukatsu Fujioka was initial driving force of nationalist movement for reform of Japanese History curriculum. He understood as necessary the omission of some controversial issues such as "*comfort women*" (sex slaves of the Japanese military during World War II), and other "*dark matters*", considering that they were prostitutes and that there was no need to teach that to students (Masalski, 2001).

In an opposite position would be the progressive conception of history teaching in Japan. In this regard we must noteworthy the figure of thinker and historian Saburō Ienaga, visible head of progressive textbooks and known, among other things, for his struggle against the "*certification*" of textbooks by the Ministry of Education (1965 -1997). This author raised critical issues about Japanese Democracy, war, memory and academic freedom (Ienaga, 2001). Nowadays, those issues, as we can see, are highly topical issues. Ienaga defended the plurality in textbooks and teacher autonomy in

selecting of contents. His criticism to textbook focuses on lack of remorse about past (Ienaga, 1993), referring to damage done by Japan in Asia, responsibilities of Showa emperor, Hirohito, and responsibilities of Japanese, in general, in war. In different ways, nationalists - conservatives have continually criticized the existence of biased textbooks by "American vision" or "Soviet vision" of Japanese History without a proper Japanese viewpoint. Therefore, conservatives seek to develop a Japanese nationalism with positive character and without "imported criticism"; a criticism that Fujioka (2000) referred it when he told about "Jigyaku rekishi-kan" or "masochistic view of history". Since 2002, following the publishing activity and revision of "Tsukuru Kai", although their textbooks are very minority use in schools, It has promoted openness to new debates on Japanese modern History.

Meanwhile, Bukh (2007) has made a deep study on formation of national identity in wartime narratives contained in Japanese History textbooks of basic secondary education or Chûgakkô [中学校] (similar to "Educación Secundaria Obligatoria" in Spain) in different decades. He has observed that, despite revisionist activity of Tsukuru Kai, the current trend is to design books less bulky and with more inclusion of victims' voices. Similarly, this author has specified the existence of preferences about memory inclusion in teaching of history. This author has focused attention on a number of recent past traumatic chapters in Japan: Russo - Japanese War, Pacific / East Asia war, battle for Okinawa, Korea and China, and voices of the victims. Focusing on last two blocks for reasons of space and focusing our vision on textbooks after 2002 we would emphasize that there is a preference to place the situation of Korean and Chinese just after the suffering of Japanese in order to create a sense of solidarity and community among the three countries. The current trend of textbooks breaks hegemonic notions of national History teaching (factual, monolithic and free of any critical) and it prefer teaching approaches where teaching of conflicts is based on an analysis of evidences and the point of view of victims of colonization and aggression (text and images), guiding process with the need to assume a critical consciousness and to assume an empathetic attitude when we are discussing about causes and responsibilities in traumatic events of the recent past. This trend, as we can see, is closer to the didactic and pedagogy defended by Ienaga (1993, 2001), which involve the formation of critical citizens and peaceful, able to understand Japanese History through understanding of "the other".

### **Historical Memory In History Textbooks: Forget Or Remember?**

Within Project Alpha II 0296-A "Teaching of History and collective memory", directed by Mario Carretero in 2004, his work (with the same name) emerges. In that work, different European and Latin American researchers take part to study matters involved in construction of memory; an issue that, as we have seen, affects to the model of citizen who we expect to educate. Among other issues, in this project framework, it has proven that in different countries (USA, Mexico and Spain), entry of conservative governments has questioned the work of a lot of specialists. It also was found that in referred to polemic issues in recent history (World War II or the Vietnam War); countries like Japan, Germany or the United States omitted information concerning to state violence, defeat and its causes and it appear some non-valid contents from field of historiography (Carter, Rosa and Gonzalez, 2006).

Historical memory, which saves a lot of connection with citizenship, must be understood from all possible viewpoints (Ienaga, 2001, Mejia, 2009). Conceptions of citizenship, history and society are determined largely by human factors. Like in Spanish case, in Japan, in progressive trends, there is a tendency to critical analysis of historical memory; whereas, in conservative trends, there is a tendency towards hiding military actions or justifying them through revision of historical memory (Nozaki, 2001, 2008). This last option implies deny assaults and avoid responsibilities in "great patriotic deeds" of the Imperial Japanese Army in conflicts of recent past.

Thus, there are not major differences between ideological disagreements that affect to teaching of history in Japan and Spain. That is, when, in Spain, we analyze controversies in relation to critical analysis of historical memory, as is the case in Japan, we found several explanations. In this sense, Ruiz - Vargas (2008) defines historical memory as a claim that seeks "to show that some of our history, close or relatively close, has not yet ended, (...) pending for any kind of restitution and, therefore, it still continues hurting its evocation" (Ruiz - Vargas, 2008: 72). In general, at the time to

construct a responsible citizenship, we start from the reality and we understand that a simple "functional instruction" does not imply changes (Sawayanagi, 1978, King, 2000). Students should be able to participate in order to develop skills that will them confront to real social problems. A concrete example of interdisciplinary and enhancement of social change is found in the so-called "*Community Writing Projects*" (Simmons, 2010) where it is understood that investigation should be done in the context of a civic forum in order to promote active participation and, consequently, a social change through dialogue and attending to social, political and ethical contexts.

Furthermore, factors that determine a critical thinking are, according to Yinger (1980), Hervás and Miralles (2004): knowledge, experience, skills, attitudes and environment. These factors also will allow the construction of good social behavior through analyzing of attitudes of irrational hatred (gender, sexual orientation, ethnicity or religion), not forgetting analyzing of hatreds based in intransigence of fundamentalisms (extreme left and extreme right, religious fundamentalism and secular fundamentalism, etc.) that often reflect an unhealed memory. In other words, it is a total act of civic irresponsibility to deny a conflict, considering that critical analysis of conflicts are bases for a truly democratic and free society. Therefore, we understand as necessary to promote a rational assumption of moderation and application of a principle of active listening to the others in the classroom, not to seek consensus, but to understand the different points of view.

### **Teachers' Reactions In Front Of Reforms And Patriotic Educational Guidelines: Struggle For Freedom Of Conscience**

As it was stated in publication "Worlds of Education" published by Van Leeuwen (2007), general secretary of international teaching union "International of Education": the proposal of revision of 2006 (already approved) had rejection of political opposition, mobilized thousands of angry teachers because nobody counted on with them for that review and lack of support from most of Japanese citizens. In these protests, various social organizations participated; including "Japan Teachers Union", and its representative, Yasuo Morikoshi, who described as undemocratic because surveys showed that only had the support of 4%, of citizenship. Leeuwen, referring to this reform, indicates that "the dialectic of patriotism and national humiliation has not moral basis and it does a disservice to the youth. Historical accuracy is a prerequisite for learning from the past and for ensure the future in key of citizenship and democracy" (2007: 5). It question positive aspects of education reform advocated by conservative authorities. Unions, generally, highlighted the impact that this reform could mean for freedom of teachers' expression and potential conflicts with international standards.

However, teachers' discontent is not unique in this 2006 revision. For its direct link with memory and its subsequent impact on schools, we must emphasize that, in 1999, the Japanese parliament approved the "*Law Concerning to National Flag and Anthem*" which proclaimed "*Hinomaru*" (the white flag with red circle in the center) and "*Kimigayo*" (national anthem from 1868 to 1945) as national symbols. In this sense, the journalist Jun Hongo (2007) from "*The Japan Times*" confirms what for some people are symbols of national pride, for others they are symbols of imperial and militaristic past. That is why this law has become source of multiple controversies. One of the most significant incidents was the suicide of a school principal in Hiroshima in 1999 after a discussion generated about an order from local Board of Education that requested him pay tribute to flag and anthem (Onaha, 2009). In theory, recognition of Hinomaru and Kimigayo did not involve any action by citizens; but, since 2003, the Tokyo Metropolitan Government published a guideline which made mandatory explicitly to include "Kimigayo" at ceremonies of classes end and to stand up before him. The justification was on curriculum guidelines set by the central government to promote respect for the anthem and the flag (Hongo, 2007). In the same year, as it was stated from the newspaper "*The Nation*", a score of teachers refused to comply with that guideline considering that it violated their freedom of conscience. Response of authorities was salary reduction, suspension for six months or non-renewal of contract (for temporary workers). In 2006, Tokyo Tribunal ruled in favor of these teachers claiming that "*teachers are not obliged to sing Kimigayo*" and "to force somebody to do it is a violation of freedom of thought and conscience". In other words, Tokyo Tribunal considered that this policy was contrary to "*Fundamental Law of Education*" (1947), which prohibits to Government "*any excessive intervention*" in teaching.

The Tokyo Metropolitan Government appealed and continued punishing teachers who refused to stand up before an anthem whose lyrics praises to emperor and that, according to teachers, it had strong militarist connotations from Japan's imperial stage. More than 400 teachers have been punished (pay cut), suspended, reprimanded or even re-educated. One of the best known cases is about the teacher Kimiko Nezu in 2008. Nezu posted on his blog the whole process and her experiences; she also continued mobilizing under suspension, moving public opinion and received numerous national and international supports from platforms and school unions against militarization and in favor of teachers' freedom (Steffenhagen, 2008, Inouye, 2008).

Nowadays, these issues are a source of controversy, but despite the pressures, there are teachers who have decided to fight for public education and freedom of conscience (Myart-Cruz, 2009), basing in that their obligation is to mold the students as citizens (articles 9 and 19 of the Constitution of Japan, 1946) and rejecting the current state intervention in matters of national identity formation. The researcher of the University of Tokyo, Yoshihiro Kokuni (2007, Onaha, 2009) has questioned the policies of the new national government. He stressed the existence of parents and teachers' movements to rescue Democracy in Japanese schools and the existence of more interest and concern from young people about current direction that national policies are taking.

### Conclusion

To affirm that memory belongs to the past, that it is totally buried and it has no place in the teaching of history; it is like to say that there is an illusory consensus similar to which involved the process of transition to democracy in Spain. In this sense, Moulian (1998) says that consensus is the highest stage of oblivion. Similarly, we have seen as political and ideological divergence is reflected in school and in teaching of history, in different countries like, for example, Spain and Japan. Lack of dialogue between political authorities and teachers generates rejections. Similarly, the inclusion of issues that affect to freedom of conscience generates discomfort and conflicts between education policy and education professionals.

In general, since 1999, polemics in Japan, about legislation of Liberal Democratic Party which are recognized as national symbols "*Kimigayo*" and "*Hinomaru*", and the debate about guidelines for inclusion of such symbols at official ceremonies of graduation (especially since 2003) are analogous to disputes about inclusion of the subject Education for Citizenship in official curriculum by the Spanish Socialist Workers Party. In both cases there are "*objectors*" and in both cases, governments have rejected this objection. Historical memory and ideological aspects are the main characters in all these facts. A clear example of this, we have it in the birth of agains - narratives in history textbooks from Tsukuru Kai. In other words, the memory management can be a powerful instrument of social control. The refusal to accept a critical analysis of historical memory, praise of military action and omission of traumatic events in history and victims' voices have been the conservative and patriotic reaction to the widespread use of textbooks where these episodes are narrated and where they attends to the victims' voices from a critical point of view.

To summarize, if 60 years ago, in Japan, conflicts appeared around of disparity between a conservative (political and bureaucratic) authorities and progressive academia; currently seem these conflicts are repeating. In other words, while patriotic trend seeks to find solutions to "*moral decay*" of young people through the "*love of country and tradition*", progressive trend seeks to exercise their profession without giving up their critical awareness about recent past. In the middle of a process of reform in education and emergence of academic debates, it seems more necessary than ever that, in Japan, as in Spain, we must recover critically the memory in history teaching; strengthening bonds between countries (and different historical sides in conflicts), not to forget, but not to repeat traumatic events that could affect all citizens.

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## TEACHERS' INTERCULTURAL COMPETENCE AND TEACHER EDUCATION – A CASE OF POLAND

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### Abstract:

While speaking of getting the young generation ready for active participation in a global society, the competence of teachers and their activities cannot be passed over. The intercultural competent teacher is able to understand, evaluate and relate to ambiguous and uncertain intercultural situations, realizing the relative validity of the own frame of reference and able to select and use communication styles and behavior that fit a specific local and intercultural context. The level of intercultural competence of teachers, their activity or passivity in the broadly understood area of culture, have an undeniable impact on students' attitudes towards multicultural issues. Equipping teacher candidates with essential intercultural competence during the period of university studies is a precondition of rising to constantly changing new challenges of the contemporary world. In the article the realities and opportunities of forming the intercultural competence of Polish teachers are being discussed. Polish teachers and teacher candidates may acquire skills and competences necessary for satisfactory functioning in a multicultural society through university programs or in-service trainings organized mostly by NGOs.

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**Key Words:** Intercultural competence, teacher education in Poland, teachers' competence

### Introduction:

Poland is a country which is relatively homogeneous ethnically, but there are exceptions from this rule when referring to the biggest Polish cities (Warsaw, Cracow, Wroclaw, Lodz). Poland has a population of 38 512 thousand people (2011) and 93.88 percent of inhabitants reported only Polish nationality. Nationality only non-Polish was cited by 1.46 percent of respondents what gives the number of 562 thousand. People who declared non-Polish or double nationality are mostly representatives of national and ethnic minorities as well as foreigners.

Compared to many other countries, the number of immigrants in Poland is still relatively low. However, diversity cannot be seen as a phenomenon in Polish society because Poland has always had its ethnic and linguistic minorities, such as Kaszubi and Łemkowie.

Globalization is the given that requires both students and teachers to develop the key competences for lifelong learning. Furthermore, internationalization of higher education in Europe has become an established reality. The concept of the European Higher Education Area (EHEA) seems to be the evidence of the realization of the idea of a multilingual and multicultural Europe. How and to what extent do the teacher education centres in Poland contribute to or hinder a learning environment that stimulates intercultural competence of teachers? Are teacher training curricula in Poland designed in such a way that they enhance a learning environment that deliver graduates to function in terms of cultural and linguistic dimensions? The answer to these questions is still not clear. The ongoing process of introducing European (EQF) and National Qualifications Framework (NQF) for higher education in Poland has brought many formal questions. In the first part of the article I describe the theoretical perspective for the intercultural competence of teachers. Then the key issues connected with teacher education in Poland are presented.

### Teachers' intercultural competence and a case of Poland – main aspects:

What does globalization imply for the expected learning outcomes of the university curricula where teachers are trained? Developing social competence in all students, also candidates for teachers, is crucial. B. Majerek (2012) pointed out that tolerance of uncertainty should be considered as an

important dimension of social competence. Definitions on culture relate to a mostly invisible template for rules of engagement in a group. The template organizes and gives meaning to our daily functioning, to our every day choices and challenges. An individual is able to predict behaviour of others therefore predictions may reduce uncertainty and anxiety. On the other hand only when confronted with different or unexpected responses we may become aware of our own specific value orientation.

Nowadays every new teacher entering the profession should be provided with tools that create a deeper understanding of one's own personal motivation, a deep reflection about her/his own personal, social and intercultural competences, her/his own value and belief system. These aspects, especially dealing with the issues like attitudes, behaviour, value clarity and respect are competences that lie far beyond the knowledge of the taught subjects. (TICKLE, The Final Report, 2009 p. 11).

Teachers' intercultural learning and its result, intercultural competence can be seen as conditions and goals for increasing cultural awareness, understanding and learning from others. Multicultural and intercultural interactions are opportunities to start the dialogue but also to become emphatic.

Nowadays, in nearly every country of Europe, multiculturalism is the rule than the exception at schools or classrooms. For teachers, such multicultural dimension is a big challenge. In a number of the countries different legislative and special provisions have been installed to meet the students' needs, both with respect to the students cultural background and the teachers capability to handle the unknown situations and teaching processes. Without even raising awareness of cultural, linguistic and social differences, teaching is left undone (TICKLE. The Final Report, 2009, p. 41).

Teachers' intercultural competence is a developmental process of formal and informal learning.

For Polish teacher training centres one of the main objectives which are perspective ones should be to discuss and implement the examples of best educational practices that are supportive of the development of teachers' intercultural competence. Both teacher trainers and trainees need to respond to an increasing variety of cultural different needs and expectations. Creation of such a dimension that works for all constituents stimulates cross-cultural learning but demands high levels of intercultural competence.

### **Intercultural competence**

Intercultural competence refers to behaving and communicating effectively and appropriately in cross-cultural situations and in this context will be based on teachers' intercultural knowledge, skills and attitudes. Deardorff (2004) describes intercultural competence as a process in which attitudes like respect for different cultures and values, openness and curiosity lead to cultural self-awareness, emphatic understanding of other cultures, and the ability and willingness to behave accordingly. It is a developmental process which was used by Bennett (1993, 2004) to formulate a model in which one can progress from ethnocentric to ethnorelative world views. The developmental model of intercultural sensitivity was adapted by Hammer (2008) and explains the differences between five consecutive stages of intercultural awareness and competence. The final stage in this model is adaptation. Cultural self-awareness and the in depth understanding of value differences is crucial because leads to effective changes in one's behaviour and communication style.

### **Intercultural competence in teacher education**

In a number of European documents the importance of the issues concerning the competence and qualifications of teachers in the field of intercultural education are mentioned (i.e. Declaration "Intercultural Education in the New European Context" of the Council of Europe). In terms of the theory the intercultural trainings of teachers should include the theoretical concepts regarding intercultural competence, culture, cultural differences and commonalities and their effects on communication processes.

In Poland the formal system of supporting teachers in the field of intercultural competence does not exist nationwide. However, in the nearest future it may be one of the most important challenges for the Polish educational policy at every school level. Many teachers admit that the issues related to multiculturalism are missed in formal teacher education at the universities. For example, in

the academic year of 2012/13 at the Pedagogical University of Cracow, which is the oldest and best known pedagogical university in Poland, there are only few obligatory courses connected more or less with intercultural issues (European Education, Comparative Education, Human Rights). There is only one course entitled Multiculturalism and Migrations but is optional to take and it is organised for the first time.

Nowadays, Polish higher institutions have to adopt to the educational requirements of the Bologna process. The National Qualifications Framework (NQF) for higher education is characterized by the fact that descriptions are formulated in the language of learning outcomes. Learning outcomes are described in terms of knowledge, skills and personal and social competence. There are at least few difficulties Polish universities can experience when developing curricula for the category of personal and social competence, namely:

- How to understand, interpret the term "personal and social competence" in accordance with the guidelines of the frameworks (both EQF and NQF);
- What activities are crucial to include in the teaching process to build the student's expected results (what elements of the programme will be used in the construction of this particular set of competencies);
- How to check whether the intended learning outcomes have been achieved.

In July 2010, NQF Steering Committee in Poland, having considered the proposals of experts, adopted the definition of "third column" of EQF to distinguish between knowledge, skills and competences. The following understanding has been proposed: these are the personal and social skills, or the ability for autonomous and responsible action, the ability to interact with others as both a member and leader of the group, as well as the ability to adapt to the ever faster changing world through learning throughout life (The Autonomy of University Curriculum, 2011).

The characteristics of the learning outcomes for the eight separate areas of education for NQF in Poland are given descriptions of the requirements for personal and social competence. These descriptions vary due to the nature of learning (i.e. requirements for humanities and social sciences). The requirements for personal and social competence does not describe or define specific actions to be taken by universities in Poland. Entering NQF in Polish higher institutions thus involves various dilemmas and dispute. In the initial phase it will probably not lead to the effective process of equipping students with intercultural competences (Pająk-Ważna, 2011).

Outside the universities the issues of multiculturalism scrolls in a variety of forms. One of the leading project to mention is that of the Foundation Diversity Forum. The project is called "Promoting multicultural schools: the development and implementation of tools to support teachers in schools receiving refugees." The aim of the project is to increase the intercultural competence of teachers working with refugee children. The project is scheduled to instruct a group of about 60 teachers working in multicultural schools in Poland.

The research conducted in 2009 in teacher training colleges around the country shows that the scope of training on the education and integration of foreign pupils and intercultural skills training proposed by these institutions is still insufficient. Training on multiculturalism, stereotypes or prejudices were conducted in only seven of the fifty-six centres for teachers (Pająk-Ważna, 2011).

In 2010, the Centre for the Development of Education (ORE), headquartered in Warsaw, started the project "Education towards the challenges of migration." The overall objective of the project is to support Polish educational institutions in the field of intercultural education. The centre undertook the task of preparing the selected experts to act as provincial coordinators.

There are also initiatives associated with the publishing activity of different bodies. For example, "Intercultural Education", is a yearbook edited by the Department of General Education, Institute of Education Sciences of the Faculty of Ethnology and Sciences of Education, University of Silesia. It is a pedagogical magazine, dedicated to education and cross-cultural issues in Poland and worldwide.

The idea of publishing the journal of "Intercultural Education" is conditioned by gradually progressive crystallization of intercultural education, which is one of the most important new sub-disciplines of modern education in the world, and in the last two decades, a rapidly developing in Poland. Significant impulses for its development have become the process of European integration and the activity of Polish scientists. It refers to the tradition of the series "Intercultural Education",

which appeared in Cieszyn research centre since 1992 and currently includes 48 volumes. Issues included in both the series and in the yearbook are presented in the readings of appropriate pedagogy, psychology, sociology, philosophy, linguistics, theology, anthropology, history (and other disciplines of the humanities broadly conceived). The category "borderline" treated was (and still is) in Bakhtin's terms - as the border between cultures, communities, religions (and not primarily - though also - borderline states and nations). Research and studies for methodological reflection are accompanied by attempts to improve the methodology of the study and how to interpret the test results. The journal provides a forum research, favoring the development and dissemination of educational sciences intercultural education, thus allowing multi-specialty teaching representatives and representatives of other disciplines - to share their achievements and to establish extensive cooperation and exchange of experience.

### **Conclusion:**

Intercultural aspects in teacher training in general should not be something marginal or exceptional.

The modern teachers must reflect on their own teaching practice in order to be able to answer key questions about how to interpret the concept of culture, what topics should be undertaken within the framework of intercultural education, what goals would be achieved. In particular the targets of the intercultural competence trainings for teachers should be:

- To acquaint teachers with innovative approaches at school and in society where, due to migration processes, societal pluralism is required,
- To enable teachers to be the bearers of school development process which guarantee the rights of a child education regardless of its linguistic, social and national background,
- To initiate multi-perspectivity when planning lessons for pupils,
- To allow teachers to gather experience.

A well-developed intercultural competence is always many-faceted, culturally and socially as well. It comprises an ability to cooperate across many boundaries, both the real and imagined. What seems inherently logic and rational to Polish teachers might not easily be understood by pupils of other cultures. It is needed and helpful to emphasize aspects of a specific culture. Mismatches may lead to many misunderstandings and as a consequence to stress and cultural fatigue. It might not be possible to prevent every cultural fatigue. However it is important for teachers to share different experiences in order to develop a continuous alertness.

Teacher training centers in Poland one way or the other have adopted a cultural dimension and international perspective in their curricula, responding to the global interdependencies of the contemporary world. Generally, during the teachers initial training, the students are not familiarizing with issues referring to multicultural education so teachers' intercultural competence is rather very poor. They usually have neither knowledge nor experience concerning teaching in multicultural environment and also have very limited information on national minorities living in Poland (Case Studies of Good Practice in Poland, 2006). Developing intercultural competence is one of the learning goals that should be mentioned by all universities. Both schools and teacher training institutions need to be organized in such a way that it enhances an inclusive learning environment in and outside the classroom allowing for positive intercultural dialogue and learning. It is also worth noting that "in a multicultural institution the traditional pattern of basic assumptions has changed in order to include different perspectives and handle diversity, creating an organizational culture of shared perceptions of practices and enhancing intercultural learning" (Gregersen-Hermans J., 2010, p. 3). Awareness of how culture influences the functioning of the schools in Poland and in what way cultural differences have an impact on the communication between teachers and students may be the first steps to create a stimulating environment which is necessary to gain intercultural competence.

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## **FACTORS INFLUENCING TEACHERS USE OF GAMES AS STRATEGY FOR PEDAGOGY OF PRIMARY SCIENCE IN SCHOOLS: THE ROLES OF LIBRARIES**

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### **Abstract:**

This study investigates the effectiveness of games as technique for teaching and learning of primary science in schools and the role play by library services. Game, when carefully employed and executed served as an integral part of teaching method and measure of effectiveness of instruction. Research has shown that educational games can have positive impacts on student learning and motivation. The success of a game played in an instruction class depends on the type of game selected, the development of learning outcomes, and the flexibility of library in providing library unit that is equipped with multimedia equipments where learners can interact. The study was restricted to 600 male and female respondents' teachers in Ojo Local Educational District of Lagos State. Data were collected through 18 items questionnaire. The three generated hypotheses for the study were rejected, while the result of the finding revealed that significant difference exists between factors influencing teachers' choice of game, its usefulness and problems hindering the effectiveness of game(s) for teaching and learning process of primary science in schools. Conclusion and recommendation were also proffered.

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**Key Words:** Educational games, Academic libraries, Library audio-visual unit Student learning, Jeopardy

### **Introduction**

A critical examination of the Nigerian Primary Science Core Curriculum reveals that science is an activity-oriented subject. Greater emphasis should be placed on doing than telling. The children should be immersed in an extended series of enriched experiences that could help to give them ample opportunity of self-discovery. However as Lederman, (1997) has noted, the transaction in primary science classroom does not reflect the activity orientation, but a read-about and tell-about teacher demonstration oriented course. The changing nature of scientific knowledge calls for the need to de-emphasize science as dogma. Science should be made more relevant to every day life. James, (2008)) opined that in teaching learning process, we must remember that those at the receiving end i.e. learners must take delight in what we are teaching and in teaching science to students in particular, we must go extra mile with them involving all that is good in science. The use of game in teaching primary science according to Maduabum, (1989), is a resource or an equipment and material which the teacher can use to help the achievement of lesson objective. Game in teaching/learning process is a scientific skill such as observation, identification, classification are very important for laying a sound foundation for subsequent science.

A game can be defined as an activity that contains some or all of the following elements: rules, goals, challenges, fantasy, mystery, curiosity, competition, skill (Rendel 1992). Games that adapted and used for educational purposes aim to have players achieve a specific learning outcome as the goal of game. Over the past decade, educators have reported using games as instructional tools in a variety of disciplines. Koether (2003) described the use of a named game to teach students chemical information. Gublo (2003) used a trivia game to teach laboratory safety methods, and Grabowski and Price (2003), Deck (2002) and Dearvour (1996) developed individual variations of a science themed jeopardy to improve student retention of content in the areas of organic, general and biochemistry. Games have also been used in psychology courses to teach students abnormal psychology diagnosis,

theories of personality, and research methods (Merwin, 2003). For example at Owens library, Northwest Missouri State University, students engaged in a word find exercise or jeopardy-style game at the end of a two week library orientation instruction program in order to reinforce the material that has been taught (Ury and King, 1995). Krajewski and Piroh (2002) described how freshmen at Simmons College played a game of library jeopardy during the second of two library sessions in order to find out about library services in a non-intimidating, fun manner. Interestingly, Rendell et al (1992) conducted a survey of published research from 1963-1991 and found 67 empirical research studies that address the effectiveness of games versus traditional instruction in the areas of social sciences, math, language arts, physics, biology and logic. Slightly more than thirty percent of these studies showed increased student learning from games in contrast to conventional instruction. Subsequent to the Rendell survey, studies have shown increased knowledge retention by those using an educational game compared to those receiving conventional instruction (lecture and paper based materials). Educational games are beneficial to students because they address different learning styles or preferences, provide immediate feedback, increase student motivation, and enhance a student's overall learning experience, all of which increase the chance of a positive learning outcome for the student (Rendell et al 1992). Other disciplines such as biology, nutrition and psychology have incorporated various types of games, such as wheel of fortune, bingo and cross word puzzles into post secondary classroom instruction. Science games can be grouped into competitive and non-competitive games. The competitive science games involve a scoring system with a fixed number of points. One player's success automatically leads to another player's loss. Non-competitive science games involve no scoring but self-developed skill and mastery of subject matter to solve related problems.

### **Getting Game At Your Library**

The global community and the demands of the information age have re-shaped librarianship and the use of technologies to acknowledge and enhance the economic, cultural and communication revolution in today's world. There is a wide spectrum of game types from board games and card games to Web-based games and console games, and electronic games are just an extension of gaming activities already supported in libraries. Libraries that support the recreational needs of patrons through fiction or movies are simply extending these services to the popular entertainment media for a growing sector of the population. The concept of supporting gaming is one that most libraries have supported for some time. Gaming is a magnet that attracts library users of all types and, beyond its entertainment value, has proven to be a powerful tool for literacy and learning. In today's technology-driven world, where learning does not stop at the classroom, the role of libraries in supporting literacy and learning is more critical than ever before. Gaming for learning presents a tremendous opportunity for libraries to further literacy skills in children as well as adults. Numerous detailed examples of what libraries are already doing including public, school, and academic libraries, librarians can reap positive gains by proactively, creatively, and (above all) affordably integrating gaming into the services and programs already offered at your library. The case studies reveal that gaming programs often turn out to be among the most popular a library can offer. Libraries are turning more than ever to video games as a way to lure teenagers back inside their doors creating video game clubs, hosting tournaments and hoping the children will then begin to take advantage of everything else the libraries have to offer. Librarians are seeing benefits. Libraries are safe places for children and they give kids a place to gather and talk with friends. With the Provision of the library audio-visual unit, Library can link on to the game board which is a web page projected on a screen, consisting of a simple table with the top row identifying the categories and additional rows for point values (<http://www.library.gsu.edu/jeopardy/music/>). The questions are read aloud, and the student selects the answer. While the game board and scoring can be accomplished with more advanced technology and programming. This simple web page format allows librarians to construct the game, and easily edit and customize the game board for different classes. In addition to the simple web page format, a template for a similar online jeopardy-style game has been created by the university education technology Science (UETS) At Georgia State University. This jeopardy style game along with other games can be downloaded free of charge for educational use in the library (<http://www.gsu.edu/wwwets/instructionalsupport/learningobjects/finding.html>). Just as libraries have caused

controversy in the past by adding fiction to their offerings and circulating recreational videos, libraries are creating controversy today by supporting gaming through in-house gaming activities and circulation of gaming materials. At this point, there is little data about the penetration of gaming in library services. There is anecdotal data and guides to best practice, but there is little data about how many libraries are supporting gamings and in what ways.

### **Educational Games And Library Services**

Few librarians would deny that instruction is more effective for students when it includes a high level of students' participation. Students who are actively partners in learning often show higher levels of comprehension and critical thinking (Bowe and Freeman, 2000). Instruction librarians can do this by using a combination of instructional methods such as lecture, demonstration, questions and answers and hands-on practice, in order to address as many learning styles and instructional preferences as possible. While this is certainly a good practice to follow, Oblinger (2003) suggested that the learning preferences of millennial are the trend toward teamwork, experimental activities, structure and the use of technology. Whether you are developing and constructing a game yourself or collaborating with other, particularly those with technical expertise, the following tips are useful points to consider in the creation and implementation of a game:

- ✚ Design the game around learning outcomes
- ✚ Library home page
- ✚ GIL (OPACK)
- ✚ Database and indexes

In designing a computer game developers have to establish the objectives of the game by identifying its designed impact. This influences the game play, especially the motivational elements of the game design. They also need to consider what will make the user continue to want to play the game until the objectives are fully achieved. This lies with the fact that as librarians we continuously seek new and innovative ways of teaching students library skills for students to enjoy success in their academic work. Library skills are about learning how to learn, are part of being an educated person. This is made possible by creating effective library induction programs that enhances the learning of library skills offers. Over the last few years, some libraries have been turning to gaming activities like *Dance Revolution* as a way of bringing in new demographic groups and exposing them to library services. Recently, Jenny Levine, a.k.a. The Shifted Librarian, wrote an American Library Association publication highlighting different types of video gaming activities in libraries (Levine, 2006,) and other librarians have written about their experiences in print and online (Neiburger, 2007; Schmidt, 2006; Gallaway, Schwarzwalder, Czarnecki,2007). Gaming is rapidly growing into the next new media as sales of games have outpaced box office sales and are predicted to grow beyond music sales in the near future (Alpert, 2007; Cheng, 2007)

### **Audio-Visual Unit Of The Library**

Library should be the center of the educational institution librarian should not just find books, but also is a teacher, and should advise students on materials to further their independent study. A person could get more out of his or her personal drive to learn than in any classroom, and that the library was the key to this learning. However, provision of audiovisual unit in the library provides a source of entertainment for members of the community in the following ways:

- ✚ To provide an additional service for a group of active library users
- ✚ To attract an underserved group of users to the library
- ✚ To increase the libraries role as a community hub.
- ✚ To recognize the cultural significance of the gaming medium and to participate in it
- ✚ To introduce users to other library services and
- ✚ To create publicity for the library among other

It is hoped that when audio visual unit of libraries is fully enhanced with multimedia equipments and internet facilities, it will increase access, improve services, and establish multi channel learning environment as a resource center where learners have ample access to instructional materials to interact with and thereby complement game taught by teacher while in class to achieve its behavioral objective.

## Teachers Choice Of Game In Teaching And Learning

Teacher choice of game in teaching primary science in schools is very rare, it is a new innovation employed to enhance teaching and learning of difficult concept in science at the elementary level. These aspects of study had not been implemented into the primary school curriculum. Hence the teachers had not known it's significant. Many teachers are said to be in capable of assisting students to perceive clearly a picture of the world of work in using Game, because pupils have different learning styles, it's important to incorporate multiple teaching techniques into the classroom experience. (Nwaboku 2007). According to her, one of such technique is the use of game in the classroom to reinforce the learning objectives. Many topics in verbal reasoning, quantitative, aptitude and in computer science are well suited for coverage in such a game than in primary science. Akinola, (1998) the children should be immersed in an extended series of enriched experiences that will help to give them ample opportunity of self discovery in using Game in answering questions, filling up letters in puzzles in a science lesson, games and in toys. Teachers Choice of game depends on the pupil age, topic to be taught, level of the student, Ability of the teacher and learner, Time of lesson, size of class and, Resources at disposal among others. When game is used as a style, it does helps children to master lesson with short answers. In the most recent iteration of the operating system and a process state transition, Game helps children to appreciate different approaches to process. According to him crossword puzzles, video, dance, letter puzzles and games have been assessed for their effectiveness, providing several insight into what makes a good Game for teaching operating systems concepts in primary science and how the existing games can be improved. The nature of scientific concepts demands an innovation in imparting some learning experiences to the learners, which provide fascinating challenges. It makes the lesson actively based and helps the children to achieve the mastery of the subjects better. This is in agreement with Balogun, (1992) when he view science game as that which enable the learner to

- ✚ Develop functional knowledge and manipulative skills.
- ✚ Acquire scientific appreciation and interest.
- ✚ Develop problem-solving and scientific attitudes.
- ✚ Engaging the individuals playing the game.
- ✚ A form of socialization.
- ✚ Improving quality of life of individual playing the game.

His views therefore recommend that science games should be used in science teaching and learning in the primary schools. However the teacher should know the essential features of the various games, rules, methods of organization, values received from participation, equipment and facilities (if any) needed and ways of motivating the pupils before using them. He should also ensure that the games when used for educative purposes are not unnecessarily prolonged to avoid the aim being defeated.

## Purpose Of The Study

Majority Of People Consider Games To Be Unimportant And Have No Relevance In Education. It Is Considered To Be Frivolous And A Kind Of Accidental Accompaniment Of Work. It Is Customary To Assume That Education And Work Go Together And Play Has A Relatively Minor Role In Teaching And Learning. These Feelings Are Wrong, Because In All Societies And Culture, Everyone Knows Different Plays, Even Little Children Often Involved In Personally Designed Game. Even Adults Not Only Play Games Of Their Childhood But Also Learn New Games. Thus Every One Knows About Games Because It Is Very Easy To Understand The Analogies Used, Language Of Game Has Become Part Of People's Daily Vocabulary. Games Provide Fascinating Challenges To The Learners And Add Interest, Activity And Novelty To The Lesson. In Line With These Purpose Of The Study Science Class Is Supposed To Be Full Of Activity. Using Game To Teach Science Will Increase The Student Interest And Participation In The Class.

## Statement Of Problem

The problem which this study seek to address is the factor(s) influencing teachers use of game for teaching and learning of primary sciences in schools vis-à-vis

- 1) Factor(s) influencing the choice of game as teaching strategy by teacher

- 2) Level of usefulness of games for instructional purposes and delivery
- 3) Problems hindering the effectiveness of Games as teaching strategies for teaching/learning of primary science

### Research Questions

- 1) **What Factor(S) Influencing The Choice Of Game As Teaching Strategy In Schools?**
- 2) Can The Level Of Usefulness Of Games Lead To Its Use For Instructional Purposes In Schools?
- 3) Is There Any Problem(S) Hindering The Effectiveness Of Games As Teaching Strategies In Schools?

### Hypothesis

The following hypothesis has been formulated to be tested in the course of this study:

Factor influencing teachers' choice of game will not significantly affect its teaching strategy and methodology.

- 1) The usefulness of Game will not have any significant effect/impact between teaching strategy, library services, and delivery technique.
- 2) There is no significant effect between the problems hindering the effectiveness of Games packages and its choice of use as teaching strategy.
- 3) There Is No Significant Effect Between The Problems Hindering The Effectiveness Of Games Packages And Its Choice Of Use As Teaching Strategy.

### Design

The Design Adopted In The Study Is A Descriptive Survey Research Designed Aimed At Teachers' Use Of Game In Teaching And Learning Of Primary Science In Lagos State.

### Target Population

The Target Population Employed In This Study Consists Of All The Primary School Teachers In The Three Local Education District Of Lagos State.

### Population And Sample

Purpose Random Sampling Technique Was Used By The Researcher In Selecting The Primary Schools In Each Of Led For Better Result. In All A Total Of 100 Respondents Were Sample At The Rate Of 20 In The Five Selected Schools

### Research Instrument

For the purpose of the study, the researcher adopted the use of structured questionnaire to obtain relevant information about the topic of the study. Four points Likert scale rating was used. The validation and reliability of the instrument was achieved by expert examination, criticism and correction. Simple frequency count and chi-square statistical tool was used for data analysis.

### RESULTS

The result of data analysis are presented in tables 1, 2 and 3 while finding and discussion of findings were proffered

#### TEST OF HYPOTHESIS ONE

Factors influencing teacher's choice of game will not significantly affect its teaching strategy. The focus of this hypothesis is to find out which of the factors listed below influence an individual (teacher) towards the use of games for teaching learning.

**Table 1: Chi-Square Analysis of Hypothesis One**

S/N	TOTAL	SA	A	SD	D	N	Df	S <sub>1</sub>	X <sup>2</sup> cal	X <sup>2</sup> tab	Decision
1	Credibility of the manufacture	2	2	66	30	100					
2	Ease of use of the game	3	2	61	34	100					
3	Availability of the game packages	4	6	60	30	100					

4	It is learner friendly	3	5	72	20	100	15	0.05	24.21	25.00	Reject
5	Cost of the game packages	4	10	64	22	100					
6	Ability to meet d objectives	5	6	70	19	100					
	<b>TOTAL</b>	<b>21</b>	<b>31</b>	<b>393</b>	<b>155</b>	<b>600</b>					

**Test Of Hypothesis Two**

The usefulness of Game will not have any significant effect/impact between teaching strategy, for library services, and delivery technique.

**Table 2: Chi-square Analysis**

S/N	FACTORS	SA	A	SD	D	N	Df	S <sub>1</sub>	X <sup>2</sup> cal	X <sup>2</sup> tab	Decision
1	It takes shorter time to study	64	60	2	4	100					
2	It increases efficiency	60	34	3	3	100					
3	It eliminates uninteresting and repetitive concept	57	30	3	1	100					
4	It affects quality of service & instructional delivery.	70	20	3	0	100	15	0.05	50.34	25.00	Reject
5	It contributes to the objective for which the study is set up.	60	30	4	7	100					
6\	It has proved effective in terms of accuracy and time	71	20	4	6	100					
	<b>TOTAL</b>	<b>382</b>	<b>164</b>	<b>19</b>	<b>35</b>	<b>600</b>					

**Test Of Hypothesis 3**

There Is No Significant Effect Between The Problems Hindering The Effectiveness Of Games Packages And Its Choice Of Use As Teaching Strategy.

**TABLE 3: CHI-SQUARE ANALYSIS**

S/N	FACTORS	SA	A	SD	D	N	Df	S <sub>1</sub>	X <sup>2</sup> cal	X <sup>2</sup> tab	Decision
1	High cost of game package	70	1	1	1	100					
2	Where it exists, there is no adequate personnel service	75	23	1	1	100					
3	My library does not support gaming	80	17	1	2	100					
4	My library does not have audio visual unit to support gaming	40	20	30	10	100	15	0.05	164.7	25.00	Reject
5	Library lack support from the school management.	70	26	1	1	100					
6	Inadequate training facilities\	70	26	1	1	100					
	<b>TOTAL</b>	<b>407</b>	<b>140</b>	<b>35</b>	<b>18</b>	<b>600</b>					

## Discussion Of Findings

Based on the analysis above, it was discovered on *table one* that at 15 degree of freedom and 15% level of significance, that is  $X^2$  calculated (29.21) was greater than  $X^2$  table value (25.00) i.e.  $X^2_{cal} (29.21) > X^2_{tab} (25.00)$ . Therefore, the null hypothesis which states that “inadequacy of factors that influence teachers’ choice of game will not have any significant effect on teaching and learning of primary science in schools” is hereby rejected.

The Reasons For This Could Have Ranged From Factors Highlighted On Table One I.E. Credibility Of Manufacturer, Ease Of Use, Availability, User Friendly, Cost Of Purchase Or Production And Ability Of The Game To Meet The Objective Of The Study. This Is In Line With The View Of Hays, (2005) Which States That The Onus Of The Use Of Instructional Packages Such As Game Rests On The Government To Support In The Design Production And Training Through Adequate Funding, Human And Material Resources For The Schools.

Table 2, Based On The Analysis Of Hypotheses 2, It Was Discovered That At 15 Degree Of Freedom And 5% Of Significance,  $X^2_{cal} (50.34)$  Was Greater Than  $X^2_{tab} (25.00)$ , Therefore The Null Hypotheses Was Rejected. This In Effect Revealed That Usefulness Of Game Has A Significant Effect On Teaching And Learning Of Primary Schools In School Reason For This Could Have Been The Level Of Its Usefulness Vis-À-Vis Time Taken To Study And Play Instructional Games, It Increases Efficiency, Elimination Of Uninteresting And Repetitive Concept, Quality Of Instructional Delivery, Contribution To The Objective Of The Study And Its Effectiveness In Term Of Accuracy, Time And Usefulness Among Others. This Is Also In Line With The View Of Nwaboku, (2007), Akinola, (1998) And Aleyideino (2000) That Education Presented In The Spirit Of Play Will Be Understood And Mastered Easily As It Provide Fascinating Challenges To The Learners And Add Interest, Activity And Novelty To The Lesson. This In Effect Helps The Children To Achieve The Mastery Of The Subject Better.

From Table 3, Base On The Rejection Of The Above Analysed Data, It Was Evident From The Finding That There Is A Significant Effect On Problem Hindering Effectiveness Of Game And The Teachers’ Choice Of Game As Teaching Strategy In Schools. This Is Evident As The  $X^2_{cal} (164.07)$  Was Greater Than  $X^2_{tab}$  Value (25.00) The Reasons For The Rejection Of The Hypothesis Could Have Range From And Between Inadequate Personnel Of Library Services In Schools, Inadequate Training Facilities, Poor Attitude Of Staff And Learners To Training, High Cost Of Game Package, And Lack Of Supports Frown The Management Of Schools. This May Be As A Result That Game Has Not Been Implemented Into Primary School Curriculum. Hence The Teachers Had Not Know Its Significant, Many Teachers Are Said To Be Incapable Of Assisting Students To Perceive Clearly A Picture Of The World Of Work In Using Game Because Pupils Have Different Learning Style Coupled With The Above Inadequacy Levels.

## Conclusion

Going By The Data Presented And Discussions Made On The Analysed Data, It Can Be Concluded That Factor Influencing The Use Of Games As Teaching Strategies To Improve Primary Science Indicated A Significant Differences Between The Variables Tested For The Study As They Were All Rejected Based On The Analysis Of Data Presented For The Study.

## Recommendation

Based On The Findings Of This Study When Teachers Therefore Adopt The Use Of Game As Teaching Technique, He/She Must First Write The Behavioural Objective To Be Achieved, And Then Plan The Design Phase And Procedure Before The Teaching. Library Being The Nerve Centre Of Any Academic Institution Is Charge With Responsibilities Of Making Information And Recreational Material Available In Print, Non Print And Multimedia Resources, Library Should Be Equipped Or Build Where There Is Non, So That Learners Can Have Access And Interact At High Level With

Library Resources To Enhance Their Knowledge. With This, Teacher Will Be Able To Think Well Ahead Of The Lesson To Be Presented And Plan, Design A Simple If Possible Look For Credible Vendor Or Direct Learners To Library And Hence Implement By Combining Game As Strategy With Normal Teaching Procedure, In Effect Primary Science Learning Will Be Further Enhanced.

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## **FAMILY FACTORS, ACHIEVEMENT GOALS AND ACADEMIC MOTIVATION IN LATIN AMERICAN STUDENTS**

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### **Abstract:**

Lack of student motivation is a problem for teachers, who often attribute it to the family. Although we know the effect of parental socialization style and motivational orientation of parents on achievement goals and academic motivation of students, the effect of family climate have been less explored. Also, studies on the relationship between these variables in Latin-American students have not been found. We assessed family climate, style of socialization and goal orientations in the family, and achievement goals and academic motivation in 331 secondary students. We analyzed the effect of the former on the latter by ANOVA. The results show that all three family factors have significant effects on achievement goals and academic motivation of students, and that the goals of these students influence their motivation. The exception was the failure avoidance goals, which are not influenced nor influences other variables. These results and some of the limitations of the research are discussed.

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**Key Words:** Family factors, achievement goals, academic motivation, secondary students, Latin America

### **Introduction:**

Among the complaints from teachers of all levels of education that have been explicitly identified by decades (Alonso-Tapia, 1997), found that many of the students have no interest in school contents, or not guide the effort to acquire the knowledge and capabilities that are the subject of teaching, and that family and social context is not conducive to student motivation, because parents do not value the effort and the acquisition of skills and / or competencies. Certainly, the modes of action and messages from parents create environments that stimulate the interest and efforts of students to learn, or discourage it. In this sense, research has emphasized the role of parental socialization or upbringing. Parental socialization styles or parenting styles, are sets of behaviors that are communicated to the child and cause an emotional climate in which parental behavior is expressed. Include both behaviors in which parents explicitly represent their parenting practice as nonverbal behaviors and spontaneous emotional expressions (Steinberg, 2001). It has been consistently identified four patterns of parental socialization or parenting styles (Baumrind, 1971; Dornbusch, Ritter, Leidferman, Robert & Fraleigh, 1987; Maccoby & Martin, 1983): authoritarian, authoritative, permissive and indulgent or negligent, which results from the combination of two dimensions (acceptance- involvement and coercion- imposition). Authoritarian parents (low acceptance / involvement and high coercion / imposition) are highly demanding and very little attentive and sensitive to the needs and wishes of the child. Parental verbal messages are unilateral and become emotionally disapproving. They are generally indifference to the demands of support and care of children, less likely using positive reinforcement, showing indifferent to the appropriate behavior of their children. Authoritative parents (high acceptance / involvement and high coercion / imposition) are good communicators, have a willingness to accept the arguments of the child and to remove an order or demand, using most frequently the reason over coercion to get complacency, and encourage dialogue over imposition in order to achieve agreements with the children. They balance the high affection with high control, and high demands with clear communication about all that is required of

the child, characterizing by affection, control and maturity demands. Indulgent or permissive parents (high acceptance / involvement and low coercion / imposition) try to behave affective by accepting the impulses, desires and actions of the child. Consults with them about internal household decisions and provides them explanations for family rules. Allow their children to regulate their own activities as much as possible, providing help with explanations and reasoning and avoiding exercise of coercive control and imposition, and do not force them to obey guidelines imposed by authority figures, unless they are discussed. Neglectful parents (low acceptance / involvement and low coercion / imposition) are parents who have serious difficulty relating and interacting with their children, as well as defining boundaries in their relationships with them, permitting defenseless that be the children who define it; accept with difficulties the evolutionary changes of their children and have few expressions of affection; are not involved in interactions with them and do not constantly supervise the activities of the children (Musitu & Garcia, 2004).

It has been shown that these styles have a significant influence on how students engage in school and performance. For example, adolescents with authoritative parents show greater interest in school, higher self-efficacy expectations and better academic performance (Boon, 2007; Glasgow, Dornbusch, Troyer, Steinberg & Ritter, 1997; Lamborn, Mounts, Steinberg & Dornbusch, 1991; Pelegrina, Garcia & Casanova, 2002), and adolescents with neglectful parents show poorer performance (Boon, 2007). In undergraduate, Turner, Chandler and Heffer (2009) found that authoritative parenting style positively influences academic achievement, but the authoritarian and permissive styles are not related to it.

It also has been linked parental socialization style with the kind of goal that students take in achievement situations (just as an example, Chen, 2010). Goals are the purpose for which someone is involved in a task (Nelson & DeBacker, 2008). Specifically, are concrete cognitive representations that play a directional role guiding the person toward specific outcomes (Elliot & Thrash, 2001), representations of desired states that serve as criteria for comparing the current states (Austin & Vancouver, 1996). Achievement goals are a specific type of goals in which the final result is competence: are cognitive representations of a competency-based possibility that a person seeks to achieve (Elliot, 1999). A first distinction in achievement goals was in order to differentiate the task orientation itself of the orientation of the social, interpersonal or intrapersonal task. For example, Nicholls, Cobb, Yackel, Wood & Wheatley (1990) distinguished between self-centered goals (orientated to maximize the evaluation of self-competence and to reduce incompetence assessment from others) and task-centered (oriented to master the task and improve the competence itself). Similarly, Dweck (1999) distinguished between performance goals, in which what is sought is the final result – a score, for example - and domain or learning goals, which is looking for learning or mastering the task alone. The trichotomic model (Elliot & Church, 1997; Elliot & Harackiewicz, 1996) distinguishes domain or learning goals, performance-approximation goals and performance-avoidance goals (or avoidance of failure), a model that has been the one of highest projection in research. Evidence of the effect of goals on motivation and related affective factors is abundant, which has led to Grant and Dweck (2003) to say that goals have a causal effect on motivation, and to Elliot and McGregor (1999) to consider achievement goals as predictors of cognitive, metacognitive and motivational strategies. Hence the importance of parental socialization effect on achievement goals, in terms of their educational implications. In this regard, it has been found that learning goals are favored when parents have an authoritative parenting style, while the authoritarian style is positively associated with performance goals, and permissive style favors performance orientation and is negatively related to goals learning (Boon, 2007).

The characteristics of family environment, although related to modes of socialization, may be influenced by other variables, such as personality characteristics of parents, the type of activities in which they engage, etc. Therefore, family environment does not necessarily correspond to parenting style. However, research about eventual influence of family climate on achievement goals or motivation of students beside this model of socialization styles has not been found.

Moreover, it has been shown that both the goals and the motivation of the students are directly influenced by the goals that the environmental significant others emphasize. This influence of goal orientation prevailing in the immediate environment has been referred to as motivational climate, and was proposed by Ames (1992) to refer to the motivational context in the classroom, which has

been extensively studied (eg, Alonso -Tapia & Fernández, 2008). In the case of parental influence, it has been shown that the perception that students have of achievement goals emphasized by parents predict their own goals in general (Gonida, Kiosseoglou & Voulala, 2007; Gonida, Voulala & Kiosseoglou, 2009) or in specific domains such as science (Kahraman & Sungur-Vural, 2012; Kahraman & Sungur, 2013), mathematics (Friedel, Cortina, Turner & Midgley, 2007) or physical training (Gutiérrez & Escartí, 2006).

Despite this international evidence and the relevance of these relationships to understand the involvement of students in their education, not found any research on the influence of these variables, alone or together, on goals or motivation of students in the Latin American context. In this paper, we present the preliminary analysis of research conducted with the dual aim of exploring the possible influence of family climate on achievement goals and academic motivation of students, and to help determine the relationship between the family climate, parental socialization and family motivational climate with achievement goals and academic motivation of students in a Latin American context.

### **Participants:**

This research involved 370 students from 12-19 years old, grades 6 to 12 of secondary school in a private management but publicly funded located in the city of Iquique, Chile, whose population corresponds to middle socioeconomic level, according local standards. Participation was voluntary and anonymous, and of the total number of volunteers, 331 responded validly the battery of instruments and formed the final sample. Within it, 55.7% were female and 44.3% male, and the mean age was 15 years, 82.2% live with both parents and 17.8% live with one of the two parents.

### **Instruments:**

The family climate was assessed using Moos Family Climate Scale (Moos, 1979), as adapted for local families by Luis Cruz (2011). The scale consists of 41 items, with a dichotomous answer format (true / false). We used the seven variables that were validated in the study of Cruz: cohesion, expressiveness, conflict, orientation to cultural and intellectual activity, recreational orientation, moral aspects and organization, with which the author identified eight types of family climate. The reliability obtained by the author ranged from  $\alpha = 0.5$  and  $\alpha = 0.87$ . For purposes of this study, it was found again, through cluster analysis, eight types of emerging family climate, although slightly different from those identified by Cruz, which were described as: (1) cohesive expressive (2) expressive, conflictive and organized, (3) conflictive sedentary, (4) inexpressive, intellectual and cultural, (5) inexpressive, (6) cultural, intellectual and organized, (7) unattached conflictive and (8) cohesive conflictive. Each family was assigned to the type of climate in which was classified by this analysis. Parental socialization style was measured with the Parental Socialization Scale ESPA29 of Musitu and Garcia (2001). The instrument contains 116 items with a likert response format of 4-score, evaluating 7 variables separately for each parent: affect, indifference, dialogue, detachment, verbal scolding, physical punishment and revoking privileges. These scales are combined to form the dimensions acceptance / involvement and strictness/imposition, whose reliabilities are around  $\alpha = 0.9$ . From these dimensions, each parent is classified in one of the parental socialization styles: authoritative, indulgent, authoritarian or negligent. In this sample, however, only found parents in the authoritative and authoritarian styles. The motivational family climate was evaluated from an adaptation of the scale of perceived peer motivational climate in sport (Ntoumanis & Vazou, 2005), which assesses motivational climate oriented to task and motivational climate oriented to ego. For this research, an amendment was made in the form of wording of the items, in order to adapt them to the motivational orientation transmitted by parents and emphasized in the family, whose reliability was  $\alpha = .90$  for task orientation and  $\alpha = 0.64$  for ego orientation. The scale consist of 20 items of 5-point likert format, and each participant was assigned to a low, medium or high range depending on their location in the typified distribution, being the cutoffs the  $z$  scores that divide the normal distribution in equal thirds. For achievement goals, we used a set of 15 items on 5-point likert format questions selected of the questionnaire "Goals, expectations and values" (Alonso-Tapia, 2005). This questionnaire evaluates nine specific motivations, from those derived scores on the three goal orientations: learning orientation, performance orientation and avoidance of failure orientation. The reliabilities of the scales for the three orientations vary between  $\alpha = 0.8$  and  $\alpha = 0.9$ . Academic

motivation was assessed by applying the Academic Motivation Questionnaire of Fernandez and Alonso-Tapia (Fernandez, 2009), which consists of four subscales (outcome expectations, perceived ability, interest and effort) assessed by 12 items, and whose general reliability of  $\alpha = 0.8$ .

### Procedure:

We obtained the authorization of the management of the establishment, and requested permission from the parents in one of the regular meetings of parents. The battery was administered by groups, within one hour of regular classes, considering only those students who volunteered to participate after being informed of the purposes of the study and the type of participation, and whose parents had agreed too. Both parents and student signed an informed consent protocol. Students who do not agreed to collaborate were allowed to make an alternative activity in other areas of the school during the period of test administration.

### Results:

Table 1 show the descriptive statistics of the variables of achievement goals and academic motivation for subgroups defined by family factors, and its respective results of variance analysis. Before analyzing the differences associated with these factors, has a place to mention that the average achievement goal oriented to learning for the whole group was  $M = 3.5$ , significantly higher than avoidance of failure oriented goals,  $M = 3.1$  ( $t = 6.057$ ,  $df = 330$ ,  $p = .000$ ), and this, in turn, was significantly higher than the average performance oriented goals ( $M = 2.3$ ,  $t = 9.439$ ,  $df = 330$ ,  $p = .000$ ). As shown in Table 1, the family climate had significant effect on achievement goal oriented to learning and performance and on academic motivation. For achievement goal oriented to task, the lowest average correspond to inexpressive family climate, which is significantly lower than the higher average for the family climate cohesive expressive. For achievement goal oriented to

Table 1. Descriptive statistics (mean and standard deviation) and results of analyzes of variance for variables achievement goals and academic motivation according family factors

Family factors	Group (n)	Achievement goals			Academic motivation
		Learning-oriented	Performance-oriented	Failure avoidance-oriented	
Family climate	Cohesive-expressive (181)	3.65 (.673) <sup>a</sup>	2.66 (.612) <sup>b</sup>	3.01 (.886)	3.49 (.672) <sup>d</sup>
	Expressive-conflictive-organized (33)	3.21 (.692)	2.66 (.739) <sup>c</sup>	3.12 (.926)	3.08 (.735)
	Conflictive-sedentary (39)	3.33 (.656)	2.37 (.691)	3.28 (.814)	3.17 (.720)
	Inexpressive-intellectual-cultural (32)	3.53 (.842)	2.54 (.517)	3.05 (.810)	3.43 (.713)
	Inexpressive (9)	2.71 (.749) <sup>a</sup>	2.31 (.991)	3.51 (.901)	3.16 (.515)
	Cultural-intellectual-organized (13)	3.08 (.651)	2.34 (.624)	2.80 (.589)	3.10 (.450)
	Disengaged-conflictive (14)	3.31 (.911)	2.67 (.655)	3.31 (.897)	3.34 (.576)
	Cohesive-conflictive (10)	2.86 (.517)	1.96 (.450) <sup>bc</sup>	2.990 (.392)	2.58 (.652) <sup>d</sup>
	Results of ANOVA ( $F_{7, 323}$ )	$F = 5.980$ , $p = .000$	$F = 3.017$ , $p = .004$	$F = 1.219$ , $p = .291$	$F = 4.612$ , $p = .000$

Parental socialization style	Autoritarian father -authoritative mother (112)	3.45 (.729)	2.54 (.670)	3.15 (.975)	3.37 (.680)
	Autoritative father – authoritarian mother (35)	3.66 (.856)	2.56 (.771)	2.98 (.1.025)	3.63 (.738) <sup>e</sup>
	Autoritative father and authoritative mother (184)	3.45 (.713)	2.59 (.616)	3.05 (.742)	3.28 (.693) <sup>e</sup>
	Results of ANOVA ( $F_{2, 330}$ )	$F = 1.242$ , $P = .290$	$F = 0.232$ , $p = .793$	$F = 0.661$ , $p = .517$	$F = 3.998$ , $p = .019$
Motivational family climate task-oriented	Low (106)	3.07 (.706) <sup>f</sup>	2.33 (.662) <sup>gh</sup>	3.07 (.791)	2.10 (.594) <sup>ij</sup>
	Middle (92)	3.47 (.553) <sup>f</sup>	2.66 (.569) <sup>g</sup>	3.02 (.762)	3.45 (.583) <sup>i</sup>
	High (133)	3.79 (.715) <sup>f</sup>	2.71 (.644) <sup>h</sup>	3.11 (.968)	3.56 (.748) <sup>j</sup>
	Results of ANOVA ( $F_{2, 330}$ )	$F = 34.029$ , $p = .000$	$F = 12.071$ , $p = .000$	$F = 0.332$ , $p = .718$	$F = 22.785$ , $p = .000$
Motivational family climate ego-oriented	Low (93)	3.60 (.782) <sup>k</sup>	2.53 (.620)	2.99 (.883)	3.49 (.757) <sup>l</sup>
	Middle (130)	3.36 (.692) <sup>k</sup>	2.57 (.641)	3.08 (.875)	3.23 (.670) <sup>l</sup>
	High (108)	3.50 (.729)	2.61 (.690)	3.14 (.820)	3.36 (.664)
	Results of ANOVA ( $F_{2, 330}$ )	$F = 3.170$ , $p = .043$	$F = 0.440$ , $p = .645$	$F = 0.757$ , $p = .470$	$F = 3.947$ , $p = .020$

a, b, c, d, e, f, g, h, i, j, k, l Pairs of means significantly different, according to post-hoc test (Scheffé or Tamhane according the variances were homogeneous or not).

performance, the lowest average is associated with cohesive conflictive family climate, which is significantly lower than those for cohesive expressive and organized conflictive expressive. The expressive cohesive psychosocial climate is also associated with higher average academic motivation, and the lower average of this variable corresponds to cohesive conflictive climate. Parental socialization style has only significant effect on academic motivation. In this case, the highest average corresponds to the children of authoritative fathers and authoritarian mothers, and the lowest to children whose parents are both authoritative. The motivational family climate oriented to the task had a clear effect on achievement goals oriented to the task and to performance, in which at higher levels of the first variable, higher averages on the second ones, in a trend that is replicated in the case of academic motivation. In contrast, the motivational family climate oriented to ego only had significant effect on achievement goals oriented to learning and academic motivation. Unlike the previous factors, the mid level of motivational family climate orientated to ego is associated with the lower average on goals orientated to learning and academic motivation, and the highest averages in these variables are associated with the lowest level of motivational climate oriented to ego. It should be noted that none of the factors had influence on achievement goals oriented to avoidance to failure.

A second series of analyzes of variance was performed considering the effect of achievement goals on the dimensions of academic motivation. To do this, the scores of the three goal orientations were segmented in the same way it was familiar motivational climate, standardizing and assigning them to low, medium and high as standardized score corresponded to the lower, middle or upper third of normal distribution. The results of these analyzes of variance are shown in Table 2, which shows

that achieving goals oriented to learning and performance have significant effect on each of the dimensions of the motivation to higher levels of attainment targets learning oriented or results, are generally higher averages in the dimensions of academic motivation. In contrast, achievement goals aimed at avoidance of failure not significantly affect any of them.

Table 2. Descriptive statistics (mean, standard deviation) and results of analyzes of variance ( $F_{2, 331}$ ,  $p$ ) for the dimensions of academic motivation by level (low, middle, high) of achievement goals

Achievement goals	Group (n)	Academic motivation			
		Outcome expectations	Perceived ability	Effort	Interest
Learning-oriented	Low (105)	2.95 (.873) <sup>a</sup>	3.09 (.831) <sup>cd</sup>	3.18 (.878) <sup>f</sup>	2.95 (.905) <sup>gh</sup>
	Middle (97)	3.12 (.829) <sup>b</sup>	3.38 (.730) <sup>ce</sup>	3.40 (.777)	3.33 (.818) <sup>gi</sup>
	High (129)	3.52 (.808) <sup>ab</sup>	3.69 (.796) <sup>de</sup>	3.62 (.829) <sup>f</sup>	3.67 (.843) <sup>hi</sup>
	Results of ANOVA	14.420, $p = .000$	16.586, $p = .000$	8.243, $p = .000$	20.525, $p = .000$
Performance-oriented	Low	3.02 (1.033) <sup>j</sup>	3.22 (.855) <sup>k</sup>	3.21 (.897) <sup>m</sup>	3.08 (.914) <sup>n</sup>
	Middle	3.27 (.781)	3.36 (.812) <sup>kl</sup>	3.43 (.851)	3.36 (.961) <sup>n</sup>
	High	3.38 (.724) <sup>j</sup>	3.64 (.754) <sup>l</sup>	3.60 (.752) <sup>m</sup>	3.58 (.770)
	Results of ANOVA	5.152, $p = .006$	7.861, $p = .000$	6.114, $p = .002$	9.005, $p = .000$
Failure avoidance-oriented	Low	3.33 (.977)	3.43 (.936)	3.39 (.942)	3.32 (.944)
	Middle	3.19 (.863)	3.38 (.728)	3.44 (.790)	3.29 (.841)
	High	3.15 (.723)	3.43 (.816)	3.41 (.816)	3.42 (.944)
	Results of ANOVA	1.274, $p = .281$	0.164, $p = .849$	0.132, $p = .877$	0.561, $p = .571$

a, b, c, d, e, f, g, h, i, j, k, l, m, n Pairs of means significantly different, according to post-hoc test (Scheffé or Tamhane according the variances were homogeneous or not).

### Discussion and Conclusion:

The first fact that deserves comment is the way the achievement goal orientations are presented. In response to the statement at the beginning of the presentation regarding the perception of teachers about their students, one would expect a low learning orientation in them; however, this orientation is manifested most strongly, clearly distinguished over the avoidance of failure and performance. At the same time, avoidance of failure appears stronger than the concern about performance and its social consequences. This discrepancy with the perception reported by teachers in the literature may be talking about different evaluations between teachers and students, or that, in assessing the students have in mind a different kind of activities that teachers have in mind. If these perceptions are reconciled, so that teachers recognize the goals of student learning, it is possible that the educational dynamics follow a different path.

Another fact that stands out is how the sample is distributed on parental socialization styles. As expected, most of the families are recognized as authoritative by the students, that is, families in which both parents show high involvement and acceptance, while they are firm and impose rules, a pattern that has been widely recognized as the more adaptive. The pattern that follows is the combination of authoritarian father and authoritative mother, which not only match cultural stereotype of the father exercising authority and mother providing support, but, considered together, maintains support and firmness characteristics simultaneously present. The scarcity of combination of authoritative father and authoritarian mother could also be explained by cultural reasons associated with gender stereotypes, which this combination contravenes (Eccles, Frome, Suk Yoon, Freedman-

Doan, and Jacobs, 2000; Joel, Michael, Malanchuk, Eccles and Sameroff, 2001; Moya, 1985). More difficult is to speculate about the absence of families with both authoritarian parents in a sample whose size would suggest at least a small frequency. Today cultural trends could have created conditions for authoritarianism as a form of parenting is in retreat, but it is possible that the strength of the prevailing anti-authoritarian speech inhibit recognition or explanation of the authoritarian characteristics by students, or the characteristics of the school from which the sample was taken have imposed a bias in this regard.

In considering the influence of family climate on goal orientations and motivation favorable to learning, there is indeed a significant effect. What can be seen more clearly in this regard are the positive effect of family cohesion when accompanied by expressiveness, and its negative effect when associated with conflict. For achievement goal-oriented learning, blankness also appears as an interfering factor. However, contrary to expectations from the literature, parental socialization style showed no significant effect on achievement goals, although he did on academic motivation. In this case, points out that the greatest motivation occurs in the case of families where the father is authoritative and mother is authoritarian, which is exactly the reverse of the traditional cultural role, and highlights the relevance of how the father assumes his role, being parents who set limits and rules firmly while give support and show flexibility, those which facilitate the best motivational disposition towards academic tasks. The fact that it appears a significant effect of family climate but not of socialization style on achievement goals is an invitation to pay attention on this variable and examine in more detail the relationship between the two.

The motivational climate perceived by the student in his family has a significant impact both on their own goals and their academic motivation. The perceived emphasis on parents in the task-oriented goals predicted higher level of task goals, performance goals and motivation in students, and parent's greater emphasis on ego-oriented goals reduces academic motivation and learning goals in students, although this effect is less clear and strong that in the case of learning orientation.

Achievement goals of the student, in turn, have a significant effect on their academic motivation. Though probably for different reasons, learning-oriented goals and performance-oriented goals positively affect motivation. Thus, the effect of family factors on motivation could be direct or mediated by their influence on the goals, as Boon (2007) stated.

Other data that deserve comment are that failure avoidance goals are not affected by any of the family factors considered, and that, in turn, has no effect on motivation. In this regard, evidence has shown that avoidance goals would have a negative effect on motivation indirectly through emotional consequences that could interfere with both the motivation and the cognitive processes, which would be the opposite in the case of goals of learning and performance (Elliot & McGregor, 2001; Grant & Dweck, 2003; Linnenbrink, Ryan & Pintrich, 1999; Middleton & Midgley, 1997).

These results are moving in the direction of the objectives: first, as to show the relationships between family factors, achievement goals and academic motivation in a context that has not been previously explored such as Latin America, and then, as to show the importance of examining the role of family climate in relation to achievement goals and motivation. The limitations of this work, however, are obvious, and they are worth mentioning to put it in perspective. First, analyzes that have been conducted were independent of each other, so we do not consider the possible effects of interaction between variables, which could cause actual results. That is, what the analyzes show whether each factor is considered, by itself, shows or not an effect on the goals and motivation, but it was not considered the reciprocal influences that could increase or decrease the isolated effects. A second limitation concerns the instrument used to assess the motivational climate in the family. Although its psychometric properties are good, only evaluates two goal orientations, the learning-oriented and ego-oriented, within the last one includes both performance approach and avoidance of failure. By not distinguishing between the latter two approaches, the results could be masking effect, which may have been reflected in the less clearly effect of perceived ego-oriented goals in parents. Despite these limitations, the results are significant enough to suggest the desirability of moving towards more complex analysis with the same variables considering the simultaneous effect, to propose a model that integrates them.

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## **READY, STUDY, SHARE: AN INQUIRY INTO THE DIDACTIC APPROACH OF GAMIFICATION WITH A SPECIAL VIEW TO THE POSSIBLE APPLICATION IN HIGHER EDUCATION**

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### **Abstract:**

In this article I study gamification as a didactical method and the possible application of gamification theory in higher education. Recently it became important to create a scientific basis of gamification in order to be able to differentiate between the various approaches and interpretations as the general concept started to diversify in the last two years. Gamification is also seen as a new marketing tool (Zichermann, 2010), a new trait of the employee in the 21st century (McGonigal, 2011), and a method to reach a higher level of motivation and engagement in the workplace (Zichermann, 2011) or at the school (Kapp, 2012). Unfortunately these theories handle gamification as a completely new phenomena and do not try to make a comprehension with previous didactical methodologies or concepts. This article intends to map the theory of gamification in a didactic approach by making comparison with other didactical theories, and put some remarks regarding the similarities and the differences of the concepts which will help to dispose gamification on the canvas of science. The article also address the current pedagogical situation in higher education with a special view to the most significant tendencies and analyse how the application of gamification would affect the problems and conflicts induced by them. The article concludes by framing possible directions to study the application of gamification theory in higher education and suggest to research these topics intensely.

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**Key Words:** Gamification, didactics, learning theory, pedagogy, education

### **Introduction:**

However the literature of gamification is not too extended, the interpretations of the definition itself vary widely and mainly determined by the sector which the author came from. It could be threated like a marketing tool (Zichermann, 2010), as new life-style and a key employability factor in the globalized era (McGonigal, 2011), and as a method to reengineering the performance evaluation systems on a group-based, identity-oriented approach to reach a higher level of engagement in organizations (Fromann, 2012). The practice-oriented literature can also be divided into two parts. The first mainly derives from the marketing interpretation explaining the psychological background and shows the know-how as well as the significant milestones to create gamified applications (Zichermann, 2011). The second focuses on the possible application of gamification theory in education, leaning on the scientific results of didactics, and the summary of the previous ad hoc experiments in the field (Kapp, 2012). This article will follow the latter interpretation, as I intend to study the possible application of gamification theory in higher education. So the mainly focus will be the didactic approach, with a special view to the motivation and the engagement in the learning process.

As Mr. Kopp and others have adequately explained the general theory of gamification, this article hereby not aims to criticize and compete the previous results of the field, but to specify the theory of gamification to the context of higher education. The article is structured in four parts. The first intends to establish a scientifically justified basis of gamification, using the traditional definitions and concept of didactics. The second seeks to place gamification in the context of higher education and shows the way for those who want to gamify higher education. The third traces the possible barriers and threats and makes suggestions to how to avoid them during gamifying higher education.

The fourth part summarizes the essence of the article by underlining the main points and flashes some of the research topics which could help us to further understand the specifics of gamification in the context of higher education.

### **Main Text:**

#### **Gamification as *novum organum* in didactics**

If we try to analyse gamification with the traditional didactical toolset, we will more likely understand the specifics of the theory than when we try to address it with common phrases and the newest contemporary interpretations. The didactical value of gamification comes from its complexity. Gamification is not only a better didactical method, it affects different parts of the learning process and makes a completely new layer on most of the current definitions, not replacing but complementing them.

As we study the literature of the theories on learning, we could find separate fragments of the key elements of gamification. The role of creativity and playfulness (Rousseau, 1762; Pestalozzi, 1801), the significance of learning in small packages step-by-step (Skinner, 1968) and the superiority of positive reinforcement compared to punishment (Skinner, 1968) have already appeared in many scientific works. Even the theoretical background of the continuously increasing challenges can be found amongst the five suggestions of B. F. Skinner to make teaching and learning more effective (Skinner, 1968). The novelty of gamification is to select the suitable pieces and make a coherent, clear-out and simply useable concept, which is presumably capable of replacing the current pedagogical paradigm and establish a new basis for the science of learning in the 21st century.

The uniqueness of the theory can also be seized that unlike most of the theories in the field, gamification has strong roots in the industrial sector, and the theory tries to keep pace with the practice and not vice versa. However this feature is not without precedent, in this case this relation determines the main characteristics of the theory, especially the marketing-orientation and the early invention of the wide opportunities of commercialization. Despite gamification also becomes a marketing tool which builds on the same psychological foundations as the learning method, handling the basic drive to achieve higher and higher objectives a main factor in the new strategy of customer relationship (Zichermann, 2011), making a difference is essential. The marketing-approach has a strong external aim (to raise the profit), while the didactic approach has only one final internal objective: make the learning process more effective. The battle between the two schools will be settled by the orientation of the first initiatives and their success in international corporations and the possible future adaptation in higher education. As currently the practice is miscellaneous, and the theory is also treated like a new method of internal development which fosters the level of motivation and engagement in the organization, and a marketing tool to address and keep the customers more efficiently, the future of gamification is yet undecided.

#### **Gamification in higher education**

As the close environment of the learning process in traditional higher education are the continuously functioning and developing colleges and universities, changes in the globalizing higher education space must not be underestimated if we talk about managing the learning process and the motivation of the participants. From the several tendencies which could be mentioned in the globalizing higher education, four must be noted here as the main and most influential phenomena in higher education nowadays and the near future.

First of all, a new generation has started to enter in the higher education, which is often referred as Generation Z, and can be distinguished from other generations by the secure and natural use of internet and social networking. The significance of the new attributes of the generation have already been recognized and connected to the theory of gamification, with a special view to the general psychological needs (Frommann, 2012). Researches also shown that the members of this generation require new information in different batches and different format then the previous ones, and usually cannot pay attention as long as the members of Generation Y and X (Frommann, 2012).

The second trend is the continuously increasing internationalization of higher education. By internationalization, this article means the convergence of processes and policies, which is also the general definition in context of internationalizing higher education (Altbach-Knight, 2007). In recent years, the number of international joint and multiply degree programmes have substantially emerged,

the curriculum and the methodology of teaching have started to show similar patterns, and the scientific communities have more forum to discuss actual questions than ever. These tendencies support the implementation of new didactic methods and pedagogical concepts (such as gamification) as the theories have to adapt to a lesser diversified environment. The international funding of mobility programmes had also fostered the formalization of interpersonal professional relationships as a side-effect, which further strengthened professional networks. The structure of the courses (first, second and third cycle) in higher education has also shown similar trend, but it must be noted that top schools have started to create new titles exactly to respond to the common and wide use of the previous ones and prevent the depreciation of the degrees.

The third trend is the ever increasing volume of international mobility, which must be differentiated from the internationalization of higher education. As the OECD study on the „*Internationalisation of Higher Education*” pointed out in 2004, some new forms of cross-border education do not expect the students to travel abroad, instead offer the programme of the host university at the home university (programme mobility) or at an affiliate of the host university in the home country of the students (institution mobility). However the level of international mobility breaks records from time to time, financial background will soon mark the boundary of opportunities. For example if we look at the available information on the „*Erasmus for All*” programme, which will be the framework of the educational policy of the EU in the next financial period, we can find hints to the abovementioned financial scrutiny. It seems that the European educational policy intends to move forward to a self-supporting international system in higher education on the long run, which relies greatly on the networks (knowledge alliances, sector skill alliances) based on relations in various economic sectors. The relevance of this phenomena in the changes of the social and economic context of higher education can be explained by the new stakeholders and the new situation they may form with their extended influence. This process may also effects the battle between the two approaches of gamification, as the theory has strong roots in the industrial sector as it was already mentioned. The increasing number of mobility influences the didactics, by cutting off the rough edges of the used methods in order to be able to provide a suitable learning environment to the international audience.

Last, but not least, the number of inter- and multidisciplinary courses are continuously increasing in the higher education of the 21st century. As motivation is mainly determined by personal interest and that could vary widely between disciplines, changes in the character of the courses influence the motivation of the people involved. This could easily cause delays in the fulfillment of the courses, and may cause disappointment in future jobs if the segment where the employee works does not cover the preferred disciplines, but the least preferred ones from the previously studied inter- or multidisciplinary course. The problem of the unbalanced motivational levels could be treated more easily by using gamification to engage the learners in the learning process, complementing the missing professional motivation with motivation to win the competition of points, levels or minor achievements.

Gamification could be useful for not only the students, but the professors and other staff as well. At this point a difference must be made. The gamification of higher education has an organizational dimension which intends to raise the level of engagement of those working and forming the everyday life of colleges and universities, and a didactic dimension which focuses narrowly on the educational situation and the learning process of the students. The first is practically the same as the general application of gamification theory, the latter has a much tighter and much specialized scope. It must be underlined that either of the dimensions represent a didactical situation, and either of them intend to reach higher motivational level and engagement. This article naturally mainly focuses on the latter dimension.

As this part of the article explained, the theory of gamification adequately answer to the challenge of the decreasing level of motivation of students in today's higher education, by handling the new educational needs of the Generation Z and offering an optimal didactical method to handle diversified international student groups which build up from people with different social and cultural background. However the application of the theory could not only used for the sole purpose of increasing motivation and the level of engagement in the learning process, it could also be used as a new performance-evaluation system.

The performance-evaluation system in higher education is admittedly simple. The application of a five-grade scale is general, which cannot express the exact performance of a student in a subject, just compare it to the expectations of the teacher and the performance of the others. This article does not intend to make recommendations to change the traditional evaluation system to a gamified one, but to foster the parallel application of a gamified one to complement the current. For example: if a student reaches more and more achievements with writing excellent scientific essays in the framework of different subject and disciplines, it may come up more easily which could help the further specialization and career-orientation. Excellent presentational skills, international motivation and interest, off-school learning activities (etc.) can be treated more adequately and can be pooled in the framework of performance-evaluation creating a more complete picture from the personal skills, attributes and interests of the student. So the application of gamification is not only increase the motivational level of the learner, but also offers a more efficient way to evaluate the individual and community-based performance. Furthermore the application of gamification theory could „make bridge” between the disciplines by connecting the relevant achievements and/or skills and frame a more detailed and balanced competence-matrix.

### **Barriers and threats before the application of gamification in higher education**

Higher education is a really specific environment. The science and the scientific method requires rationality and consistency which influence not only the progress of science, but the environment as well. If the theory of gamification cannot show a complex, coherent theoretical basis with adequate didactical background, it could easily be labeled as a new marketing tool or a new way to build customer relationship, and never gets integrated to the science of learning. So the most significant threat before theory is the classification, more precisely the interpretation and the judgement of the scientific community.

As it was noted in the previous part, the application of gamification as a performance-evaluation system can adequately complement the current processes and scales, however the sole use and the sudden implementation hold many threats. Reaching of some particular achievements can turn into external aims, which may increase the level of motivation and engagement, but not the motivation to acquire the learning material. The continuous and content-driven relationship must be assured between the methodology and the content, so the motivation to take part in the competition may not surrogates but complements the professional motivation.

The efficient and effective application of gamification in itself does not necessarily mean a successful learning process. The latter may evolve to a flow-like experience (Csíkszentmihályi, 1975), which could either beneficial or harmful to the attainment of the goals of learning. The solution is once again the content-orientation, which can channel the motivation and engagement in the desirable direction.

Although the most scientific discoveries and innovations come from higher education, the significance of social and economic environment must not be underestimated. In the world of science it may took many years to replace or adapt a mainstream theory, because the plausibility and popularity of different concepts change in parallel with external factors. This cruel dichotomy may also determine the fate of gamification itself, or at least the battle between the two approaches. Only time will tell.

### **The future of gamification in higher education**

Gamification is without doubt marks a new era. The globalized higher education space which can be characterized by the ever growing number of international mobility, the increasing number of inter- and multidisciplinary courses and the internationalization of processes and policies used requires a new didactic methodology. This methodology must also handle the specialities of Generation Z, by taking advantage of the excellent new internet and social networking skills, an pay attention to the weaknesses of the generation, especially in proportioning and communicating the information in a format suitable for the audience. However the methodology must first of all increase the level of motivation, the aim of the learning process must not be externalised, the connection with the learning material must be guaranteed. Otherwise the level of motivation will be increased, but not towards the objectives of the learning, but the achievements and rewards of the system itself. By the

rational, consistent and content-oriented application of gamification, all of these challenges could be met.

Unfortunately the attempts to apply gamification are sparse and mainly focus on the marketing-approach and the organizational dimension. Experiments based on the didactic approach would be vital not only to collect adequate empirical data to confirm the hypotheses, but to reason for the general use of gamification theory in higher education. The author of this article would gladly take part in the process of adapting the theory of gamification to higher education environment and enhance the theory further with a special view to the specifics of current students and trends in higher education. Without the scientifically justified basis and adequate experiments which use qualitative and quantitative perspective as well, the really promising theory of gamification is only an idea for a new beginning in didactics. Experiments must be conducted regarding the application of gamification with various groups of universities and students. The results of the experiments may show differences along the disciplines, the geographical regions, the ranking of the universities, the characteristics of the students (age, cultural and social background, previous studies, etc) and so on. The impact of the implementation of gamification to motivation and engagement could also be analysed across disciplines and between different subject-groups. The comprehensive application of gamification theory in higher education depends on the success of the first attempts which also determine whether or not will the theory manage to launch a paradigm-shift in didactics.

### **Conclusion:**

Nowadays gamification can also be seen as a new learning theory, and a colorful, unique mixture of marketing and pedagogy disciplines. Despite the theory reflects the elements of the learning process and motivation more intensely than previous concepts, the coherence and the scientific classification of the theory is yet undecided. As recent changes in today's societies induce shifts in cultural patterns in a pace never seen before, didactics needs new tools to answer these challenges. Gamification could either be one of these tools, or the holistic approach of the new pedagogy in the first quarter of the 21<sup>st</sup> century. Ready? Study, share!

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## DO CLASSROOM EXPERIMENTS INCREASE STUDENT MOTIVATION? A PILOT STUDY

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### Abstract:

More and more teachers of economics use classroom experiments as one of their didactic tools. Classroom experiments are short exercises in which students interact in a game-like setting that was designed to facilitate their understanding of key economic ideas. Can classroom experiments be used to boost student interest in economics, promote greater university enrollment and lower dropout rates? This paper presents a design encompassing five measures for motivation based on student behavior, to explore whether the use of classroom experiments in economics courses stimulates students to study economics. It then describes a pilot study devised to apply this design to a sample of Dutch pre-university students. Analysis of the results reveals a positive and significant treatment effect for four of the five measures. Further research applying the design more extensively should reveal whether our findings have general validity.

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**Key Words:** Economic education, classroom experiments, student motivation, situational interest

### Introduction

In response to steadily dropping enrollment in undergraduate economics programs, researchers and policymakers have been searching for ways to boost student interest in pursuing studies in economics. Although Edward Chamberlin advocated the use of experiments as a didactic tool already in 1948 when he wrote about a classroom experiment: “it was designed also as a pedagogical experiment; and in my own experience has been found stimulating and instructive to students...” (Chamberlin 1948, 95), more than forty years later, Rendigs Fels had cause to note that hardly any serious research had as yet been carried out into the effects of classroom experiments in economic education (Fels 1993). Economists have made up for lost time since then, however, and several studies carried out in the past two decades have explored how the use of experiments impacts economics education. These studies may be divided into two groups. The first focuses on the *cognitive effects* of classroom experiments.<sup>206</sup> This paper belongs to the second, more recent type of research which investigates their *motivational effects*. An inquiry into the motivational effects of alternative instructional methods is important for various reasons. Emerson and Taylor (2010, 44) argue that more attractive educational tools may halt the decline of the market share of economics studies in the United States. Furthermore, other instructional methods may positively affect an individual student’s desire to continue his or her studies (Becker 1997, 1359) and may therefore lower the drop-out rate. Moreover, extra motivation may lead to “enhanced learning” (Ball et al. 2006, 446).

In line with this, the Dutch government recently mandated that pre-university programs in the Netherlands use classroom experiments in teaching economics. This decision was based not only on the expected beneficial effects of experiments on cognition, but also on their assumed motivational effects. This paper presents a design to explore whether economics courses taught with classroom experiments benefit the development of student motivation for economics. It also presents the empirical results of our pilot study, in which we applied this design to 100 pre-university students in the Netherlands.

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<sup>206</sup> Usually, these studies find a positive learning effect. This is the case, for instance, in the contributions by Frank (1997), Gremmen and Potters (1997), Emerson and Taylor (2004, 2007), Dickie (2006), and Ball et al. (2006). However, some studies, such as Cardell et al. (1996), find no significant effect.

The remainder of this paper is structured as follows. The section after this introduction describes what others have done to measure the impact of classroom experiments on motivation, and how this study builds upon that. The next section depicts the way in which our design measures student motivation for economics. The subsequent one gives the theories we use to identify the factors that may determine this motivation, and how we measure these possible determinants. This section also explains why classroom experiments are most suitable for students with very little background in the subject concerned, and thus why our pilot study focuses on pre-university students. The next section describes the test design and how the questionnaires that we devised can be used to quantify the indicators of both motivation and its determinants. The subsequent section presents the empirical results of our pilot study and our comments. The final section concludes.

### **How does our design compare to other research on motivation?**

Research in this area initially used the opinions of participating students to assess the motivational effects of classroom experiments. Durham et al. (2007) conclude that students who participated in a course with classroom experiments were more positive about this course than were their fellow students who were offered only *chalk-and-talk* lectures. Similarly, Ball et al. (2006) observed that, due to the use of experiments, students found a course more “stimulating” and evaluated their teachers more favorably.

Obviously, there is no harm in experiments giving rise to more favorable student opinions. However, in their comprehensive survey of motivation in education, Schunk, Pintrich, and Meece (2008) define motivation as “the process whereby goal-directed activity is instigated and sustained” (2008, 4). In accordance with this definition, studies exploring the motivational impact of experiments should not be based on student opinions, but rather on student behavior. Schunk et al. also argue that, within that framework, greater motivation can express itself in essentially two ways: (i) demonstrations of more effort and persistence and/or (ii) other choice of tasks (2008, 12). Hence, these two behavior-related expressions of motivation should form the basis of any test devised to detect a possible impact of experiments on motivation.

Emerson and Taylor (2010) were the first to explore behavioral effects of the introduction of classroom experiments. Focusing on the second expression of motivation (choice of tasks), only, they found that students who participated in experiments in a principles course did not choose other follow-up courses than their peers who did not participate in experiments. They suggest, however, that the absence of such a motivational effect could possibly be attributed to the fact that the upper division economics courses contained no experiments and, as a result, could be expected to exert no extra attraction on students.

Just like Emerson and Taylor, we examine how the use of classroom experiments impacts student behavior. However, rather than restricting ourselves to the effect that experiments may have on the second expression of motivation, we also consider the effects that experiments may have on the amount of time students spend on their studies. In other words, we also examine the impact that experiments may have on the first expression of motivation, as given by Schunk et al: (demonstrations of) effort and persistence.

### **Motivation Theory: Level of motivation**

As mentioned above, Schunk et al. give two expressions of motivation: the effort and persistence of students and, secondly, their choice of tasks. Our design quantifies these two expressions using five measures of motivation in total.

For the first expression, effort and persistence, we use two measures that relate to the students’ *current* behavior: the time they spend on their economics homework and the time they spend preparing for their economics test. We assume that if students devote more time to their studies of economics, they are better motivated for this subject.

The second expression, choice of tasks, is quantified here by means of three measures. The first relates to *current* student behavior: the priority that they give to their economics homework. Under the assumption that students have a positive rate of time preference, we regard students who give a higher priority to their economics homework relative to ‘other’ homework (in other words, those who do their economics homework earlier) as students who are better motivated for economics.

Obviously, the rate of time preference of students should be high enough to observe an effect of a possibly increased motivation for economics on this homework sequence.

Measures two and three for the choice of tasks relate to *intended* student behavior: the likelihood that students will choose economics as the subject of their (high school) thesis<sup>207</sup> and the likelihood that, once they graduate from high school, they will enroll in economics as their tertiary education. Both an increased likelihood of an economic thesis and an increased likelihood of an economic education reflect an improved motivation for economics.

The above may be summarized as follows:

<b>Expressions of motivation</b>	<b>Measured in our design by the following behaviors</b>
(I) effort and persistence	(i) time spent on economics homework
	(ii) time spent on preparing for an economics test
(II) choice of tasks	(iii) priority given to economics homework
	(iv) likelihood of an economic thesis
	(v) likelihood of an economic study

### **Motivation Theory: Factors affecting motivation**

As to the possible determinants of motivation, Schunk et al. also discuss various motivation theories, each focusing on specific factors that influence motivation. Some theories emphasize factors that affect motivation only in the longer term (a term longer than the duration of our period of investigation). Other theories highlight factors that may have an effect on motivation within a shorter period. We restrict ourselves here to the latter group of theories. After listing these theories, we subsequently explain how we apply them.

Motivation theories relevant to our study are *attribution theory* (asserting that motivation is determined by the perceived causes of events; motivation benefits, for instance, from positive events for which a student credits him/herself), *expectancy-value theory* (stating that motivation is affected by the combination of the value that a student attaches to a task and the expectancy for success), *theories on interest*, and *theories on intrinsic motivation*.

From these four theories we infer for our study six determinants of motivation. The first factor is the student's expectancy for success. This factor follows from attribution theory and expectancy-value theory. A student who is more confident of success will be better motivated. The second determinant of motivation is based on the expectancy-value theory. It resembles the value that a student assigns to the subject of economics: a student who finds this subject more useful will be better motivated. This usefulness may involve the relevance of economics on his or her school career but it may also have to do with how the individual expects to function after graduation. Thirdly, also intrinsic motivation factors, such as curiosity about economic aspects of life, are important to explain the student's motivation. These factors are derived from intrinsic motivation theories. The fourth motivational factor, which emerges from all theories mentioned above, is the teacher. His or her way of teaching and attitude towards the student play a prominent role in the development of the student's motivation. The fifth and sixth factors originate from the theories on interest, where we should distinguish between two types of interest. The first one has to do with interest in the school subject: a student who is more interested in economics will be better motivated than an uninterested student. The second one is referred to as situational interest: a student can suddenly be enthralled by being put into a certain situation.

The latter determinant, an increase in situational interest, may be most at play when students are faced with classroom experiments. These students are put in a certain context that confronts them with one or several dilemmas. This exposes them to situational stimuli. If experiments appear to improve motivation, this effect may therefore be attributed to an increased situational interest.

This use of experiments to generate situational interest is in line with Alexander's *Model of Domain Learning* (2003). This model states that a student, when developing from a beginner in high

<sup>207</sup> One and a half years after completion of our period of investigation, the students in our sample would have to choose a subject on which to write their high school thesis. In the Netherlands such a thesis is compulsory.

school to an expert after university graduation, passes three successive stages: acclimation, competence, and proficiency. Alexander argues that students who completed pre-university education show “a movement away from acclimation and toward competence” (Alexander 2003, 12). According to this model, didactic tools aimed at stimulating situational interest (context-rich teaching formats) are best suited for students in the acclimation stage and in the early competence stage. Teaching formats that focus directly on economic concepts are more suitable for students at the end of the competence stage and during the proficiency stage. Consequently, the motivation of pre-university students as well as of freshmen at universities should, *ceteris paribus*, benefit relatively strongly from classroom experiments. This is why we tested the motivational impact of classroom experiments in a group of students with a very limited background in the subject of economics.

### **Test design**

The pilot study we implemented to test our design, compared the development of motivation at two schools. At our request, one school used experiments. We label this school the ‘treatment’ school. The ‘control’ school used no experiments and employed a chalk-and-talk lecture format throughout. The schools used identical textbooks for economics and had the same number of economics classes per week. The 100 students in the pilot study were enrolled at the outset of the final three years of their pre-university education (these are six-year programs in the Netherlands) and all of them followed their first economics course in the fall of 2010. This was the last school year in which the use of experiments was optional. At both schools the course started with a short series of chalk-and-talk lectures which was concluded by a test. Also the subject matter for this examination was the same at the two schools. Subsequently, the students completed a baseline questionnaire (the questions of which are included in the Appendix). This questionnaire asked them, indirectly and concerning the school subject of economics, about their level of motivation as indicated by the five measures mentioned in the previous section. The questions concerning ‘time spent on homework’ and ‘time spent preparing for the test’ had to be answered in terms of minutes. The items on the questionnaire regarding the three other measures of motivation (the priority that students gave to economics homework, the likelihood that they would choose to write their thesis on an economic subject, and the likelihood that they would opt for an economic study after their graduation from high school) were all nine-point Likert statements where 1 = totally disagree and 9 = totally agree.<sup>208</sup>

Moreover, in order to quantify the factors that influenced motivation, the questionnaire attempted to elicit from students their expectancy for success, their task value, their intrinsic motivation, their interest in the school subject of economics, and the motivational impact of their teacher. These determinants of motivation were also measured using similar nine-point Likert statements.

Simultaneous to the student questionnaire, we asked the teachers how much time their students would need, at that point in time, to adequately do their homework and to sufficiently prepare for the test. We used this information to determine whether students, compared to the standard as indicated by their teacher, spent more or less time on the subject of economics and, therefore, put more or less effort into this subject. We refer to the time specified by the student, minus the time his or her teacher considered to be adequate, as the “net time spent”.

In the two months following this initial questionnaire, the teachers of our treatment school larded their class meetings on welfare economics (the topic that had to be covered in this period at both schools) with three classroom experiments. Since we wanted to analyze whether motivation benefitted from the Dutch law that requires pre-university teachers to use experiments, we chose experiments that many Dutch teachers currently use in this framework. The first experiment dealt with externalities, the second one had to do with public goods, and the last one was an ultimatum game. After each experiment, the students completed assignments to make them link the experiments to the topic of the course. At the control school, the lectures continued to be exclusively chalk-and-talk in nature.

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<sup>208</sup> Since Cook and Beckman (2009) found that nine-point Likert scales are more accurate than the usual five-point Likert scales while they score equal on interrater reliability, we use nine-point Likert scales.

Upon completion of the third experiment, the students at both schools had a second test. Again, the subject matter for this test was the same at the two schools. Next, the students completed a second questionnaire, the items of which were the same as those of the first one. As we wanted to compare the answers to the two questionnaires to see if motivation changed and why, depending on the dimension of the answers we adjusted the formulation of the items of the second questionnaire. This was not needed for the questions requesting students to state a certain number of minutes, such as time spent on homework. For these items the scores on the two questionnaires could simply be compared in order to see the extent to which motivation of the student concerned had changed. However, other answers were collected using Likert statements, such as the students' expectancy for success. Because of their ordinal nature, in the second questionnaire we could not simply ask for a rating of these items and subsequently deduct the ratings in the first questionnaire to see by how much these variables had changed. Therefore, although the two questionnaires contained the same items, when completing the second one, the students were not asked to rate the ordinal items in absolute terms. Instead, for these variables they were asked to indicate if they agreed more or less with a statement than they did when completing the first questionnaire. In other words, when completing the second questionnaire, students did not report absolute values for these items, but *changes in those values*.

This procedure allowed us to establish whether the students' motivation had changed and why. In other words, by correcting for the variables that, as discussed in the preceding section, could have affected student motivation (expectancy for success, the value attached to the task, interest in the subject, intrinsic motivation factors, and teacher quality) as well, we were able to determine whether a possible change in student motivation could actually be attributed to the introduction of experiments – causing a change in situational interest – or not. This correction for confounding variables<sup>209</sup> was only one of several measures we took to promote the internal validity of our test. Another measure involved structuring the questionnaire items such that reverse causation (where expressions of motivation would affect one or more determinants of motivation, rather than the reverse) could not occur. Given our five alternative measures of motivation,<sup>210</sup> such reverse causation could have occurred between motivation measured as time spent on economics homework or as time spent preparing for economics test, on the one hand, and expectancy for success, on the other: students who worked harder were likely to expect better results on a test. To prevent this problem, we measured “expectancy for success” as the answer to the question: “For the *next* economics test, I expect to get a mark that makes me happy”, while the questions that asked for the time that the students spent were related to the *previous* economics test.<sup>211</sup> As a third measure to promote internal validity, we tried to minimize the possibilities of a Hawthorne effect, both for the teachers who had to use classroom experiments and for their students, by asking the teachers of the treatment group to use three classroom experiments in a short period of time. This minimized the chances that a possible impact on motivation would result from novelty or a change in lecture method. Also, we used the same questionnaires in the treatment and in the control group, as well as the same questionnaire instructions for the teachers of these two groups and for their students. A fourth measure, aimed at preventing threats of social interaction, involved choosing groups whose teachers did not know each other and had no contacts with each other before or during the period of investigation. As a fifth measure, we made sure that the students in the two groups had no idea that they were treated differently from

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<sup>209</sup> We also corrected for other possibly confounding variables (i.e., for variables that have been identified by other studies as affecting the learning effects of the use of classroom experiments: gender, GPA, and the subjects that the student chose to follow; see, for instance, Durham et al. (2007), Dickie (2006), Emerson and Taylor (2004), Gremmen and Potters (1997) and Cardell et al. (1996)). Since aptitude for economics is more relevant for our study than general aptitude, we replaced GPA by “Relative mark”, which stands for the student's average mark for economics at the time when our period of investigation started minus the corresponding average of the group, expressed as a fraction of that group average. We received the data regarding these three items from the schools involved.

<sup>210</sup> That is: time spent on economics homework, time spent preparing for economics test, priority given to economics homework, likelihood of an economics thesis, and likelihood of an economics study.

<sup>211</sup> The other specifications of motivation did not run this risk of reverse causation. Note that reverse causation could, for instance, not happen in the case of the time-related expressions of motivation, on the one hand, and the variable “relative mark”, on the other, since we measured the latter at the outset of our period of investigation. Extra study efforts during the period of investigation could therefore not have affected this item.

another group, and we chose schools that were remote from each other. In other words, the chances of diffusion, of compensatory rivalry or of demoralization of the control group were minimal. The teacher of the control group did not plan to use any experiments in the first place, and compensatory equalization of treatment did not occur. Finally, in an effort to prevent a selection bias, we randomly selected the schools for our pilot study and we did not leave the choice to participate in an experiment to the students.

Owing to the limited size of our data set, however, the students of the two groups may, on average, well have differed at the outset of our investigation. Although that appeared to be the case in just a few of the observed characteristics,<sup>212</sup> we cannot be sure that a selection bias was fully absent and, if not absent, how this affected our empirical results. The results that we find may furthermore have been influenced by unobserved differences between the two groups in terms of other student characteristics, school characteristics, other teacher characteristics than the ones accounted for, these teachers' accuracy when estimating the required study times, or other unobserved differences. Our results can therefore only obtain more general validity if the design we propose will be applied to many more schools, teachers and experiments.

Given the above, using the students' answers to the two questionnaires, we could estimate the following equation:

$$\Delta \text{Motivation}_i = \text{Constant} + \beta_1 \text{Treatment}_i + \beta_2 \text{Gender}_i + \beta_3 \text{Subjects chosen}_i + \beta_4 \text{Relative mark}_i + \beta_5 \Delta \text{Expectancy for Success}_i + \beta_6 \Delta \text{Task value}_i + \beta_7 \Delta \text{Interest}_i + \beta_8 \Delta \text{Intrinsic factors}_i + \beta_9 \Delta \text{Teacher}_i$$

In this equation the index  $i$  represents a student. The left-hand side of the equation reflects the change in the five alternative measures of motivation described above. On the right-hand side, next to the constant, we find, first of all, three dummy variables: "treatment" equals 1 if a student is in the treatment group and equals 0 if he or she is in the control group; "gender" equals 1 if a student is male and equals 0 if a student is female; "subjects chosen" equals 1 if the subjects that the student chose are primarily social-oriented, and equals 0 if his or her subjects are primarily science-oriented. Next, we find the variable "relative mark", a measure of the student's economic literacy. The remaining items reflect the reported changes in the factors that determine motivation as described in the previous section: "expectancy for success", "task value", "interest", "intrinsic factors", and "teacher". The Appendix gives the exact ways in which we measured these items.

In keeping with the five alternative measures of motivation we developed (time spent on economics homework, time spent preparing for economics test, priority given to economics homework, likelihood of an economic thesis, and likelihood of an economic study), we ran five regressions. Since the former two measures are interval variables, we could use OLS to estimate these two equations. The final three measures are ordinal variables, which is why we used Ordered Probit to estimate these three equations.

### Results of the Pilot Study

Initially, our sample consisted of 100 students: 43 in the treatment group and 57 in the control group. Five students could not complete one or two questionnaires, on account of absence from school. This resulted in a sample of 95 students: 42 in the treatment group and 53 in the control group.

The table below presents the results of the five regressions that we ran to explain the changes in the five alternative measures of motivation.<sup>213,214</sup> Since we want to know if classroom experiments *increase* motivation, we report in brackets the one-tailed p-values.<sup>215</sup>

<sup>212</sup> Using a 5% criterion, in the observed variables the two groups only differed in terms of "interest" and, depending on the type of test, also in terms of "net time spent on economics homework" and "net time spent preparing for economics test".

<sup>213</sup> The residuals were not homoskedastic when we used the measures "time spent on economics homework" and "priority given to economics homework". Consequently, we estimated these equations using heteroskedasticity-consistent standard errors.

<sup>214</sup> In both groups most measures of motivation went down during the period of investigation. This may be attributable to the items that were covered during this period, such as welfare versus well-being, tax burden, pension systems, various Dutch laws that redistribute incomes, and internalization of external effects. These items being relatively remote from the

TABLE: REGRESSION RESULTS<sup>a</sup>

	$\Delta$ Net time spent on economics homework	$\Delta$ Net time spent preparing for economics test	$\Delta$ Priority given to economics homework	$\Delta$ Likelihood economics thesis	$\Delta$ Likelihood economics study
Constant	-28.3248 (0.0356)	-43.3836 (0.0834)			
Treatment	15.3863 (0.0374)	34.2683 (0.0371)	0.0554 (0.4003)	0.7734 (0.0007)	0.3850 (0.0460)
Gender	-1.0806 (0.9025)	-0.3723 (0.9853)	-0.1403 (0.5814)	0.4914 (0.0506)	0.4753 (0.0504)
Subjects chosen	18.1967 (0.0352)	20.6169 (0.3252)	0.1475 (0.5223)	0.5313 (0.0400)	0.6204 (0.0139)
Relative mark	-9.8384 (0.3458)	35.9834 (0.2044)	0.3843 (0.2548)	0.7394 (0.0819)	0.5765 (0.1350)
$\Delta$ Expectancy for success	-2.7136 (0.2308)	-11.1880 (0.0608)	-0.0652 (0.2021)	-0.1483 (0.0477)	-0.0442 (0.3027)
$\Delta$ Task value	-6.6089 (0.0953)	-0.3375 (0.4869)	-0.0596 (0.3290)	-0.0526 (0.3397)	0.2101 (0.0438)
$\Delta$ Interest	3.0880 (0.2273)	15.8549 (0.0515)	0.2600 (0.0207)	0.3873 (0.0009)	0.2538 (0.0141)
$\Delta$ Intrinsic factors	1.3694 (0.3043)	-7.1353 (0.1684)	0.1054 (0.1930)	0.0820 (0.1837)	-0.0679 (0.2208)
$\Delta$ Teacher	3.6382 (0.2166)	29.1902 (0.0014)	0.3045 (0.0060)	0.3438 (0.0022)	0.0673 (0.2763)
Method	OLS	OLS	Ordered Probit	Ordered Probit	Ordered Probit
N	95	95	95	95	95
(pseudo-) R <sup>2</sup>	0.1167	0.1559	0.0389	0.0940	0.0567

<sup>a</sup> The specifications of the respective variables follow from the Appendix. “ $\Delta$  Net time” (the net time reported in the second questionnaire minus the net time reported in the first questionnaire) is defined in minutes. All other variables preceded by a “ $\Delta$ ” result from Likert statements ranging from 1 to 9. For interpretational purposes, these items are rescaled in order for them to range from -4 to +4. As an example, the answer “2” regarding “change in interest” was rescaled to -3 in order to show that interest fell. “Gender” equals 1 for male and 0 for female. “Subjects chosen” equals 1 for primarily social-oriented subjects and 0 for primarily science-oriented subjects. “Relative mark” may range from -1 to +1. In brackets: one-tailed p-values, except for the items *gender* and *subjects chosen* and for the constant term.

The first two columns of the table give the results regarding the first expression of motivation as mentioned by Schunk et al.: “effort and persistence”. In both cases, the impact of the treatment is positive and significant at a 5% level. Owing to the treatment, students spent more time on their homework and to prepare for their test. In other words, the treatment raised motivation, as indicated by our measures of effort and persistence. The coefficients of “treatment” in these two equations imply that, owing to the treatment, students spent about 15 minutes extra per week on their homework and slightly more than half an hour extra preparing for their economics test.

perception of environment of a typical high school student, Alexander's *Model of Domain Learning* (2003) would expect them to be less appealing to the students concerned.

<sup>215</sup> Except for gender, subjects chosen and the constant term: since the theoretical signs are ambiguous here, for these items the table reports two-tailed p-values.

It should be noted, however, that we measured “net time spent on economics homework” and “net time spent preparing for economics test” as the time spent by students minus the time that their teachers deemed adequate. Therefore, these results also depend on the estimations of the latter by the teachers. Since the teachers might have been mistaken, a generalization of this conclusion requires a follow-up study with many more schools and teachers.

The final three columns of the table present the results that relate to the second expression of motivation that Schunk et al. give: “choice of tasks”.<sup>216</sup> As far as the treatment dummy is concerned, the most striking result here is its high significance level when explaining “change in likelihood of an economic thesis”. The treatment is also positive and significant at a 5% level when explaining “change in likelihood of an economic study”. However, for the third measure of “choice of tasks” (that is, for “change in priority given to economics homework”), we find a positive but insignificant impact of the treatment.

Two remarks should be made here. First, the latter finding -no significant impact of “treatment” on “priority given to economics homework”- might indicate that experiments do not increase motivation. However, it is also possible that students like the subject of economics better, but do not do their economics homework earlier since their rate of time preference is too low to significantly change their homework sequence.

Second, while the treatment dummy is significant at a 1% level when explaining “change in likelihood of economic thesis”, it is significant at a 5% level when explaining “change in likelihood of economic study”. This difference may well be explained on the basis of the limited implications of the first choice when compared to those of the second. The choice of the thesis subject will be primarily based on motivation, since that choice has virtually no implications for the student’s future career. However, a student’s choice between one academic study and another will not only depend on motivation, but will also be affected by factors such as future employment opportunities and future income.

## Conclusion

In economics classes, the use of classroom experiments has become increasingly popular. In the recent past, most research on the impact of this use of experiments focused on cognitive performance. More recent research also studies the impact that these experiments may have on student motivation. Such research is important, since it sheds light, for instance, on the question whether the use of experiments could support the inflow of students at universities and lower the drop-out rate.

We formulated a design to analyze the impact on motivation by looking at students’ behavior. Rather than confining ourselves, as Emerson and Taylor (2010) did, to the impact that the use of experiments may have on (study-related) choices that students make, we chose to pursue the line set out in the pioneering work on motivation in education by Schunk, Pintrich and Meece (2008). Our design therefore also considers the impact that this use may have on student efforts and persistence.

Next, we applied this design as a pilot study to a sample of pre-university students in the Netherlands. This allowed us to analyze whether the introduction of three experiments that are popular amongst Dutch teachers made these students increase their efforts for the school subject of economics and/or raised the likelihood that they would study economic topics in the future. Our design uses five measures to quantify the two expressions of motivation identified by Schunk et al.. In our pilot study we found that the introduction of experiments appeared to support both expressions of motivation in the sense that we found a positive and significant treatment effect for four out of these five measures of motivation.

This finding not only supports the increasing popularity of classroom experiments in economics education, but also is in line with the theory by Alexander (2003) that states that beginning students should be given a context that fits in with their perception of the environment.

However, three notes should be added here. First, although our design contains a series of measures to promote internal validity, we can never be sure whether the impact on motivation was indeed the result of the use of classroom experiments or perhaps of some unobserved factor. Second,

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<sup>216</sup> For reasons indicated before, these final three equations were estimated using Ordered Probit. Robustness checks in the form of OLS regressions confirmed our results.

the external validity of our empirical findings is still an open question. The findings may change if other classroom experiments are used, by other students, by other teachers or in different settings. Since the issue (how to promote student motivation for economics) is important enough, we would be happy if colleagues elsewhere would replicate our test in other settings. Finally, further study is needed to disclose whether students who faced experiments will actually choose economics more often as their field of study.

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### Appendix: Questionnaire items

In the questionnaires, we used the following (translated from Dutch) formulations to quantify our measures and determinants of motivation. In questions 3 to 10: 1 = totally disagree, 9 = totally agree.

#### Measures of motivation

##### 1. Question to measure "time spent on economics homework":

In weeks without an economics test, how many minutes did you spend, on average per week, on your economics homework assignments? (In your estimate, please include both the time you spent at home and the time you spent in class doing these assignments.)

##### 2. Question to measure "time spent preparing for economics test":

Aside from your regular homework assignments, how many minutes did you spend preparing for your previous economics test?

3. *Statement to quantify “priority given to economics homework”:*

When I have no tests to prepare for, but just have homework assignments for economics and for some other subjects, I will do the homework assignments for economics as one of the first few subjects.

4. *Statement to quantify “likelihood of an economics thesis”:*

For my thesis, I intend to choose a subject related to economics.

5. *Statement to quantify “likelihood of an economics study”:*

I intend to pursue a study in economics after graduating from high school.

Determinants of motivation

6. *Statement to quantify “expectancy for success”:*

For the next economics test, I expect to get a mark that makes me happy.

7. *Statement to quantify “task value”:*

In economics classes, I learn things that I consider useful, both now and in the future.

8. *Statement to quantify “interest”:*

In economics classes, I encounter interesting issues.

9. *Statement to quantify “intrinsic factors”:*

Also outside of school I sometimes think about economic issues.

10. *Statement to quantify “teacher”:*

My economics teacher shows me that (s)he thinks my achievements and my behavior in class are important.

# PREPARATION OF PRIMARY TEACHERS IN PUPIL-CENTRED ACTIVITY-BASED MATHEMATICS INSTRUCTIONS AND ITS MODEL

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## **Abstract:**

The study is carried out as one of the various interventions to overhaul primary school teacher education programmes in Nigeria. This is considered necessary at this time because various research findings have revealed that majority of primary school teachers in Nigeria cannot deliver activity-based or any other pupil-centred mathematics lesson. For meaningful mathematics learning to take place at this level of education, the mathematics content must be directly related to real-life situation and the only instructional method that can help achieve this is activity-based. The study adopted pretest-posttest control group quasi-experimental research design involving two colleges of education randomly selected from south west part of Nigeria. Pre-service teachers in one of the colleges were exposed to activity-based instructions while those in the other were exposed to conventional method. The results revealed that those exposed to activity-based instructions have higher mean scores in activity-based lesson planning and delivery skills and in subject matter knowledge too. Based on this intervention, an instructional model for primary school teacher preparation was proposed

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**Key Words:** Primary Mathematics Teachers, Pupil-centred strategy, Activity-based instruction, Teacher preparation

## **Introduction**

The incessant low performance of pupils in primary Mathematics and the reduction in the number of pupils who show interest in furthering their education in Mathematics or Mathematics related courses call for closer look into how the subject is taught. Various studies carried out by individual, governmental and non-governmental organizations revealed that teacher-centred method of teaching (direct instruction) is commonly adopted by the primary Mathematics teachers in Nigeria (COMPASS, 2009, Olosunde, 2009; Salami, 2009). Because of this, the discouraging low level of learning observed in the pupils during Mathematics classes must have been as a result of doing their class exercises following the algorithm of the teacher (the so-called 'do-it-as-I-have-done-it' syndrome). This type of learning has been described ineffective, functional and incapable of standing the test of time (Olosunde, 2009; Awofala, 2002; Amobi, 2003).

Research based evidences are numerous to show that teacher-centred method of teaching is not effective for primary mathematics. The subject has been identified as the most disliked subject in school (Brown, Brown and Bibby, 2008), with students' performance worsening from year after year at all levels of education (Aremu, 1998). A report by Nigeria Education Sector Analysis (ESA, 2004) has shown that the performance of pupils in primary Mathematics is below average and, also, that the problem solving skills of the pupils is poor. The national mean percent scores of primary four and six pupils in numeracy, according to the report, are 33.7 and 35.7 respectively.

Considering the status of primary Mathematics in the scheme of things and in all spheres of life, these poor teaching/learning situations associated with it should not be allowed to continue. Today, technology is the mainstay of any societal development and Mathematics has been recognised as the bedrock of technology and the sciences (Ogunsanwo, 2003; Awofala, 2008; Rasheed, 2008). In fact, we now live in an age in which no human endeavour can survive or develop without the

application of Mathematics and/or technology since almost all kinds of job have been computerized. Apart from this, the subject develops the computational skills of pupils, skills for solving the day-to-day problems that require mathematical knowledge. It forms the basis for further education in almost all fields of study in all higher institutions (Tella, 2009). The economic development also has its root in the mathematical competence of the stakeholders (Ogunsanwo, 2003).

The clarion call to all concerned stakeholders of primary Mathematics in Nigeria is to ensure that pupil-centred method of teaching is adopted in primary classrooms. The first question that comes to mind is: why are primary mathematics teachers unable to deliver activity-based or any other pupil-centred method of teaching? To answer this question, researches were carried out and this inability of primary school teachers to adopt pupil-centred strategies, especially activity-based strategy, was traced back to the teacher education programmes they went through (Omosehin, 2004; Olosunde, 2009; Salami, 2009). It was discovered that when pre-service teachers are exposed to various teaching methods and strategies, their lecturers only concerned themselves with explanation of the meaning, and the features and conditions where each method or strategy could be best used. The lecturers, most of the time, do not use activity-based approach in teaching and they do not allow the pre-service teachers to plan and present this method while in training.

This lacuna has been discovered to constitute the most visible problem of trained teachers when they are employed to teach primary Mathematics. This is predicated on the premise that we teach the way we were taught (Khazanov, 2007). Besides, activity-based instructions, unlike teacher-centred instructions, require several skills that must be learnt through practical experience and/or observation of model situations. These skills might not be easily acquired through reading or listening to explanations. It is those teachers that acquire these skills that can teach Mathematics as expected in today's classroom. Unlike the way Mathematics was taught and learnt in the past century, where a Mathematics literate person is seen as "knowing Mathematics", the focus of teaching and learning the subject now is on "doing Mathematics" ( Bahr et al, 2010). Baki (1997) refers to 'knowing Mathematics' as procedural knowledge and 'doing maths' as conceptual knowledge. Conceptual knowledge is preferable because it involves the acquisition of the knowledge and ability to adopt it to solve life-related problems. Therefore, teaching at this level shall be by practical, exploratory and experimental methods (FGN, 2004).

Activity-based instructional strategy is based on constructivist theory which is predicated on the belief that learners are capable of constructing their own knowledge if allowed to interact, explore or be actively involved in the process of learning (Marley, Levin and Glenberg, 2010). It allows individuals to create their own new understandings, based upon the interaction of what they already know and believe and the phenomena or idea with which they come into contact. Activity-based instructional strategy has been used and found to be effective by many scholars at different levels (Reshetova, 2004; Dada, Granlund and Alant, 2006; Marley, Levin and Glenberg, 2010). Activity-based learning, according to Pica (2008), is the process of exploration and discovery, of acquiring knowledge; of knowing how to acquire it (no one can memorize all the facts!). It will serve a child endlessly, and, moreover, active, authentic learning is far more likely, than rote learning, to foster a lifelong love of the learning process (Jensen, 2008). Activity-based instructional strategy is a kind of learner-centred instructional strategy which has been shown to be effective than teacher-centred instructional strategy.

Markusic (2009) compares and contrasts learner-centred and teacher-centred instructions in two ways as follows: 1. Knowledge direction – The two paradigms of classroom instruction, teacher-centred and learner-centred, differ significantly in knowledge direction in the following areas: **Source of knowledge**– In the teacher-centred classroom instruction, knowledge primarily comes from the teacher while in the learner-centred paradigm, knowledge is the combined efforts of the teacher and students. Under the guidance of the teacher, students synthesize the gathered information using problem solving, critical thinking, and inquiry skills. **Acquisition of knowledge** – In the teacher-centred paradigm, teaching strategies are usually based on lecture or exposition. This paradigm places much emphasis on the faster pace and greater bulk of knowledge transmitted from teacher to student. But in the learner-centred classroom instruction, greater emphasis is laid on the meaningfulness of knowledge. Students acquire knowledge to address real-life issues and problems. **Receipt of**

**knowledge**– In the teacher-centred classroom; students receive knowledge passively, while in the learner-centred classroom, students are actively involved in seeking out knowledge.

2. Assessment approach – The fundamental purpose of conducting assessment in a teacher-centred classroom is similar to that of the learner-centred one. The fundamental purpose is to check and increase the effectiveness of instruction in the classroom. However, the approaches to conducting assessments are different in these two paradigms.

**Assessment tools**– Since the teacher is the primary source of knowledge in a teacher-centred instruction, there are only two kinds of answers – the right and the wrong. Thus, the tools used for assessment are those that clearly delineate the right answer from the other answers. On the other hand, in the learner-centred classroom, the importance of right answers is overshadowed by the importance of creating better questions. Thus, assessment tools vary to embrace the multiple facets of learning. Besides paper tests, there will be portfolios, performance tests, and others. **Assessment functions** – In a teacher-centred paradigm, the instruction follows a distinct step-by-step procedure. Once the subject is taught, assessment follows. The results of the tests are recorded and the function of the assessment was to monitor the academic progress of the students. But in the learner-centred paradigm, assessment is intertwined with classroom instruction. The results of a test are used to discover learning difficulties. The functions of the assessment are to diagnose learning problems and to encourage better learning. Macdonald and Twining (2002) supported this argument by giving three key issues for the assessment of activity-based learning. These are: (i) Assessment of activity-based learning must reflect course philosophy: that is, it must be aligned with the exercise of active learning, responsibility and autonomy; (ii) Assessment is essential in creating learning opportunities at critical points: the close integration of activities with assessment will ensure students' participation and (iii) Assessment provides a vital opportunity for feedback, helping to complete the reflective learning cycle.

There are two forms of activity-based instruction common at the lower level of education. These are the Pupil-centred Activity-based Strategy (PABIS) and the Teacher Demonstration Activity-based Strategies (TDAS) (Aremu and Salami, 2012). Of these two, it is the former (PABIS) that gives room for pupils to have direct interaction with the learning resources and be more active in knowledge creation. It is a completely learner-centred instruction wherein all the benefits of activity-based strategy associated if well implemented. This study was conducted as a form of intervention in the primary teacher preparation programme in the Colleges of Education through exposing the pre-service teachers to Pupil-centred Activity-based Strategy using the strategy itself. This is done in order to determine or gauge its effects on the pre-service teachers' Pedagogical Content Knowledge (PCK) and Subject Matter Knowledge (SMK).

For a teacher to be able to use various methods in teaching a given subject, s/he must possess adequate knowledge of the subject matter. Eggen and Kauchak (2006) shows that knowledge of a subject matter, which is also known as numerical ability, is an important prerequisite for effective teaching. In this respect, students of primary Mathematics in the colleges of education are made to take primary Mathematics contents courses in PES 113, 122, 222 and 324 so as to gain an in-depth knowledge of the subject (NCCE, 2009). Therefore, numerical ability of pre-service primary Mathematics teachers was considered important and examined as a moderator variable in this study.

Another important factor that could affect Mathematics teaching examined in this study is pre-service teachers' gender. The discussion of gender and Mathematics and science learning is far from being concluded. Between 1970 and 1990, there were more educational research studies on Mathematics and gender than any other area (Fennema, 2000). Scholars are still grappling with the issue in order to determine whether the causal relationship between Mathematics teaching-learning and the gender factor is biologically related or it is socially or environmentally related. If the inability of a female teacher/learner to record an achievement as high as her male counterparts, as revealed by researches (James, 2007), is biologically related, there is little or nothing that can be done to correct it. However, if this disparity is socially or environmentally related, it can be corrected. This is supported by some research findings which show that the gap between male and female students' performance in Mathematics is disappearing (Berube and Glanz, 2008). The argument here is that, if female students have low performance in Mathematics, there would be less number of female pre-service primary Mathematics teachers and the few that exist would have little knowledge of the subject

matter. This eventually would affect their teaching. It should not be inappropriate, then, to examine the moderating effect of gender on this study that emphasizes the teaching process.

### Research Questions

The following questions were raised to guide this study:

1. Is there significant difference between pre-service teachers exposed to PABIS and those exposed to conventional strategy in:
  - a. Primary Mathematics Activity-based lesson planning skills?
  - b. Primary Mathematics Activity-based lesson delivery skills?
  - c. Academic performance in the Mathematics methodology course?
2. What instructional model can be proposed for the preparation of mathematics teachers in activity-based instructions?

### Methodology

This study was conducted in two phases: the intervention phase and the observation phase. Pretest-posttest control group quasi-experimental research design was adopted for the study wherein lesson planning skills were measured before and after the intervention but lesson delivery skills and academic performance were measured after the intervention alone. This design took this form because the intervention was based on one of the primary Mathematics methodology courses in the college programme- PES 122 (Mathematics in Primary Education Studies II).

Pre-service teachers studying Primary Education Studies (PES) who were in the second semester of their programme from two different colleges of education were the participants of the study. This set of pre-service teachers as well as the course (PES 122) were selected based on the following criteria: (i) they were being prepared to teach primary Mathematics and must offer one primary Mathematics methodology course in the semester- PES 122. (ii) They must have been exposed to various teaching strategies in EDUC 113 (Principles and Methods of Teaching) and also some primary Mathematics contents in the college in PES 113 (Mathematics in Primary Education Studies 1). (iii) Because of the teaching observation that is involved in this study, the students must have been exposed to treatment before the Micro Teaching Theory (EDUC 213) which comes up in the first semester of second year. The two colleges that were involved in the study are both Federal Colleges of Education in two different south west states of Nigeria. These two colleges were randomly assigned to treatment groups. At the end of selection, 73 and 161 pre-service primary Mathematics teachers participated from the two institutions.

Eight research instruments (Three stimulus and five response instruments) were designed and developed for this study. These are:

- i. Pupil-centred Activity-Based Instructional Package (PABIP)
- ii. Pupil-centred Activity-Based Instructional Package Validation Tool (PABIPVT)
- iii. Conventional Strategy Instructional Guide (CSIG)
- iv. Activity-Based Lesson Plan Format (ABLPF)
- v. Pre-Service Teachers Activity-Based Lesson Plan Scale (PSTABLPS);
- vi. Academic achievement test on PES 122;
- vii. Activity-Based Lesson Utilization Scale (ABLUS).
- viii. Primary Numerical Ability Test (PNAT)

### Pupil-Centred Activity-Based Instructional Package(PABIP)

This stimulus instrument was the most important in this study. It was designed by the researcher and it consists of the guide on the activity-based instructional strategy as well as the package to be delivered. This was used to prepare the pre-service teachers in the experimental groups. The instrument covers all topics in PES 122 (Mathematics in Primary Education Studies II). For every topic selected, the instrument covers how to perform the following: (a) state the behavioural objectives (b) selection of instructional and manipulative materials; (c) identifying both pupils' and teacher's activities; (d) presentation of the planned ABL; and (e) evaluation of the whole teaching/learning process. The package also features several worksheets which give and guide the

students on various activities they were expected to carry out. It is worth emphasizing that at every stage of the preparation, as identified above, the pre-service teachers were taken through learn-to-do-it-by-doing-it (activity-based) strategy using Activity Planning Format (APF).

### **Validation of PABIP**

The validation of this instrument called for another instrument named **Activity-Based Instructional Package Validation Tool (ABIPVT)**. It is a 19 item instrument self-designed by the researcher. The first two items seek the name of the assessor and the number of the lecture to be assessed; the next 16 items cover all the other aspects of PABIP with response ranging from adequacy or otherwise, to appropriate or otherwise and comments about each item. The last item was the general comment on the particular lecture assessed. Ten (10) copies of this instrument were given to each assessor alongside PABIP for the validation process. The responses of the assessors were used to make correction on PABIP.

### **Conventional Strategy Instructional Guide (CSIG)**

The development of this guide was informed by the realization that there are various types of conventional strategies, including what is commonly referred to as the 'purely chalk and talk', and the slightly modified forms. The guide was designed by the researcher to ensure that the conventional strategy used in delivering the lessons in the control group was not too modified. The guide was a set of steps involved in the presentation of the lesson in the control group. The following steps were followed:

- Presentation of the course content by the lecturer
- Lectures are held without teaching aids and students are just to take notes and ask questions
- Examples, illustrations and further explanations are done using chalk and talk methods
- At the end, a short test was given (possibly the post-test measure).

All the content of PES 122 (Mathematics in Primary Education Studies 11) was broken down to the number of weeks for the course.

### **Validation of CSIG**

The CSIG was validated by experienced lecturers in some Colleges of Education in Nigeria as well as educational research experts in the Faculty of Education, University of Ibadan. Their corrections were effected before the final copy was produced.

### **Activity-Based Lesson Plan Format (ABLPPF)**

This instrument was adapted from the Activity Planning format (Produced in Nipissing University). It was used to train pre-service teachers on how to develop activity-based lesson. It has six stages, viz: (i) general information which includes: subject area, class, topic, sub-topic, time, period and duration (ii) Pre-assessment stage which includes: entry behaviour, existing learning environment and available resources/materials (iii) Behavioural objectives which should cover the learning domains (iv) classroom activities for both pupils and teachers (v) Assessment which includes tools for assessment and assessment items and (vi) Teacher's reflection on the lesson which includes: achievement or otherwise of objectives, effectiveness of teacher's activities and next step of actions.

### **Validation of ABLPPF**

ABLPPF was subjected to criticism by lecturers in the Department of Teacher Education and their comments were used to produce the final version.

### **Pre-Service Teachers Activity-Based Lesson Plan Scale (PSTABLPS)**

This was a self- designed instrument that tries to measure the pre-service teachers' skills in (a) stating behavioural objectives for ABL (b) selection/designing of appropriate materials (c) Planning

pupils/teachers activities and (d) Identifying/designing assessment tools. The design of this instrument was tailored towards the adapted pre-service lesson plan format and it was used as a standard to measure the lesson plan at the pre and post level of the study. The instrument has 5 parts. Part 1 deals with demographic data of the students. There was no mark allotted to this part; part 2 measures the knowledge and skills in stating behavioural objectives for ABL. The items under this part cover (i) coverage of learning domains (ii) qualities of good behavioural objective, such as, being stated in measurable terms, condition of demonstration, taking care of average learners in the class and so on; and (iii) appropriateness of the objectives to the topic at hand. The total mark allotted to this part is 25 marks. Part 3 deals with skills of identifying/designing/improvising instructional materials that is developmentally appropriate to the pupils as well as the topic at hand. Items here cover (i) appropriateness of the materials to convey mathematical concept to be discussed (ii) age appropriateness and individual appropriateness of the materials (iii) availability/access to the materials by the pupils and the teachers (iv) provision; ready-made or improvised; the cost and number of mathematics ideas it could be used for. 25 marks were allotted to this part too. Part 4 deals with designing of both pupils' and teachers' activities. Items in this part cover (i) activity must have mathematical ideas embedded in it, (ii) logical presentation of activities, (iii) time/space consideration, (iv) level of involvement-individual, group or selected members of the class. 25 marks were allotted to this part too. Part 5 deals with the skills in identifying/designing of assessment tools for ABL. Items under this cover (i) appropriateness of instrument (ii) validity of instrument (iii) mark allocation (iv) consideration for intellectual, social and physical activities. 25 marks were allotted to this part. The total score a candidate could obtain in a planned lesson, using this tool to measure it, is 100 marks.

#### **Validation and Reliability of PSTABLPS**

The instrument was subjected to constructive criticism in the Department of Teacher Education and Institute of Education, University of Ibadan. The corrections from the various experts were used to produce the final copy and reliability was determined using inter-rater technique which yielded reliability coefficient of 0.837.

#### **Academic Achievement Test on PES 122 (AATPES)**

This instrument was the examination questions the pre-service teachers were made to answer at the completion of the course lectures in the two institutions. To ensure uniformity, the researcher requested the lecturers in the two institutions to set the examination questions before the beginning of the semester. The two questions were then blended together to form 5 theory questions. This was shown to the two lecturers and their approvals were sought. The questions were then administered as examination questions at the end of the semester.

#### **Validation of AATPES**

The items in the examination question were generated from the content of PES 122. After the blending, the two lecturers were made to assess and approve it before use.

#### **Activity-Based Lesson Utilization Scale (ABLUS)**

This instrument was adapted from the Department of Teacher Education, University of Ibadan. It is the instrument used to assess the teaching performance of education students during Teaching Practice and it is titled "Teaching Performance Assessment Sheet". The adapted version was used in this study to rate the teaching skills particularly in presenting an activity-based mathematical lesson by the pre-service teachers. The adapted version of the instrument focuses on the following areas: (a) ability to make the pupils ready by examining their entry behaviour and building the new lesson on their entry behaviour; (b) presenting the pupils' and teacher's hand-on activities; (c) observing pupil's individual participation and guiding their learning while on activity (d) using and allowing questioning method that will enhance the pupils' learning. The instrument was adjusted such that it contains 20 items instead of 19 in the original format.

### Validation and Reliability of ABLUS

Experts, senior lecturers in the Department of Teacher Education as well as veterans in primary Mathematics were consulted for the validation of the instrument, and the reliability coefficient was calculated using inter-rater technique and reliability coefficient of 0.793 was obtained.

### Primary Numerical Ability Test (PNAT)

This is a self-designed instrument which is meant to measure the pre-service teacher's primary numerical ability. It contains 20 items which cut across five (5) major topics in primary Mathematics, namely: Number and Numeration, Basic Operations in Mathematics, Measurement, Practical and Descriptive Geometry and Everyday Statistics. All the questions are multiple choice types with one correct answer and three distractions (A to D). Table 3.2 shows the specification of the items in the instrument.

**Table 1: Table of Specification for PNAT**

S/N	Topic	Knowldg.	Comp.	Appl.	Analy.	Synth.	Eval.	Total
1	Number and Numeration		Q1	Q2	Q3			3
2	Basic Operation	Q7, Q8	Q9	Q4	Q6, Q10		Q5	7
3	Measurement			Q11, Q13		Q12		3
4	Geometry		Q17	Q16			Q14, Q15	4
5	Everyday Statistics	Q18, Q19, Q20						3
	Total	5	3	5	3	1	3	20

Table 1 shows that out of the 20 items in the instrument, 3 were drawn from number and numeration; 7 from basic operations; 3 from measurement; 4 from geometry and 3 from everyday statistics. It also shows that 13 of the questions spread over the lower level of cognitive learning domain and 7 are on upper level of cognitive learning domain. The performance of the pre-service teachers in this test was used to categorise them into three numerical ability levels, namely: low, average and high primary numerical ability.

### Procedure

The study took two semesters to complete. The second semester was used to carry out the treatment and it lasted for 11 weeks. The teaching observation took place in the first semester of the second year and the observation lasted for 3 weeks. This is possible because the activities were taking place simultaneously in the two colleges.

The lecturers in the colleges were trained on the different strategies they were to adopt. They were tested and corrected where necessary. During the treatment, these lecturers were monitored and assisted sometimes by the researcher who was always in the two institutions during the lectures and the micro-teaching.

Data collected was analysed using Statistical Package for Social Sciences (SPSS) software. Statistical tools used were descriptive statistics of frequency count, percentage, mean and standard deviation including charts. Inferential statistics used were Analysis of Covariance (ANCOVA) and the post hoc test and Multivariate Analysis of variance (MANOVA).

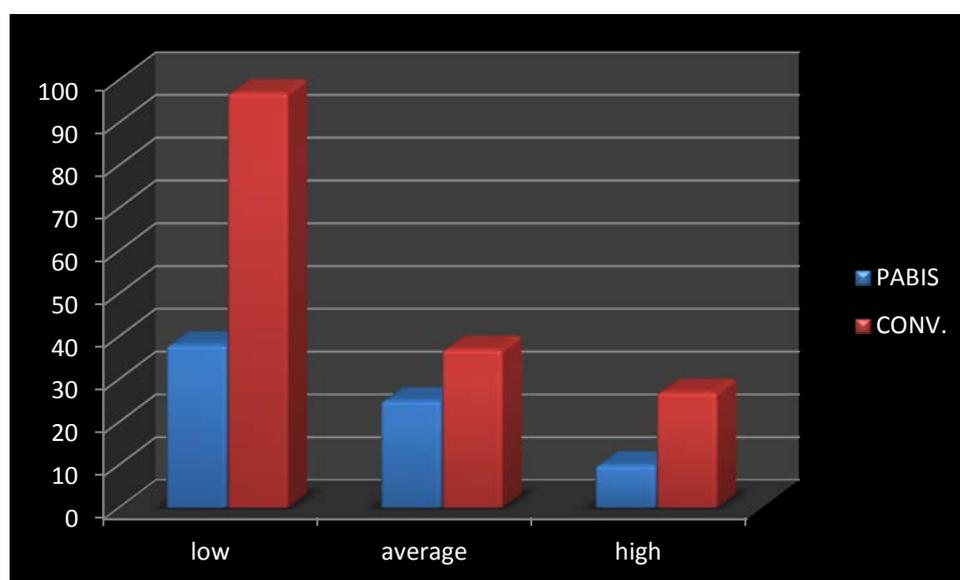
### Results

Demographic Data Analysis

**Table 2: Distribution of the Pre-service Teachers Based on Numerical Ability and Treatment groups**

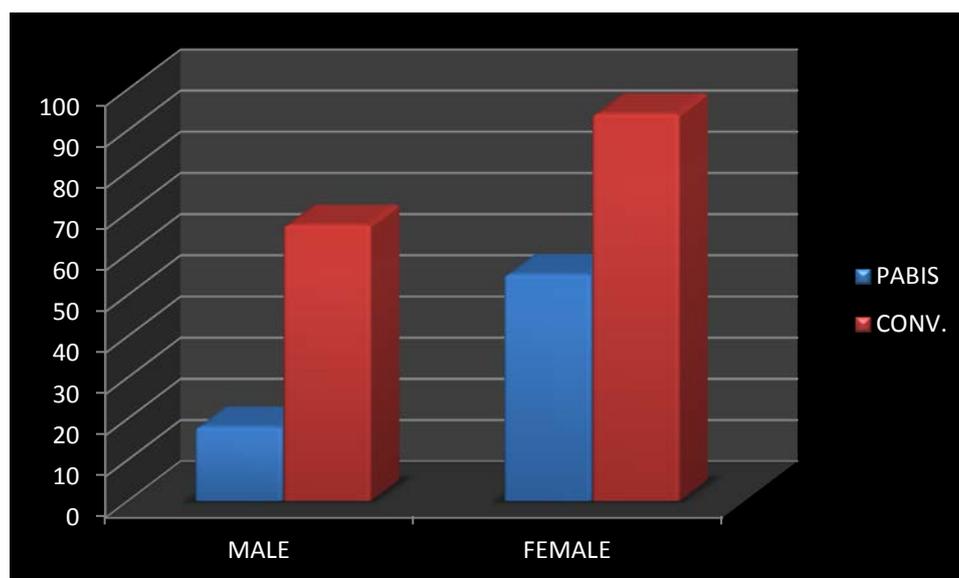
TREATMENT	NUMERICAL ABILITY			TOTAL
	LOW	AVERAGE	HIGH	
PABIS	38	25	10	<b>73 (31.2)</b>
CONV.	97	37	27	<b>161 (68.8)</b>
	<b>135 (57.7)</b>	<b>62 (26.5)</b>	<b>37 (15.8)</b>	<b>234</b>

Table 2 reveals that out of the 234 pre-service teachers involved in this study, 57.7% had low numerical ability; 26.5% were average and only 15.8% had a high numerical ability. It is also revealed in the table that 31.2% were exposed to Pupils-centred Activity-based Instructional Strategy (PABIS) and 68.8% were exposed to Conventional Strategy. Figure 1 is a depiction of this information in a chart.

**Fig. 1: Distribution of participants based on treatment and Numerical Ability****Table 3: Distribution of the Pre-service Teachers Based on Gender and Treatment groups**

TREATMENT	GENDER		TOTAL
	MALE	FEMALE	
PABIS	18	55	<b>73 (31.2)</b>
CONV.	67	94	<b>161 (68.8)</b>
<b>TOTAL</b>	<b>85 (36.7)</b>	<b>149 (63.7%)</b>	<b>234</b>

Table 3 shows that majority of the pre-service teachers are female 63.7% while only 36.7% of them are male. Of the total number of male, 21.2% were exposed to PABIS and 78.8% were exposed to conventional strategy. Of the total number of female, 36.9% were exposed to PABIS and 63.1% were exposed to conventional strategy. This shows that both sexes participated in the study. Figure 2 is a depiction of this information in a chart.



**Fig. 2: Distribution of Participants based on Treatment and Gender**

### Answers to the Research Questions

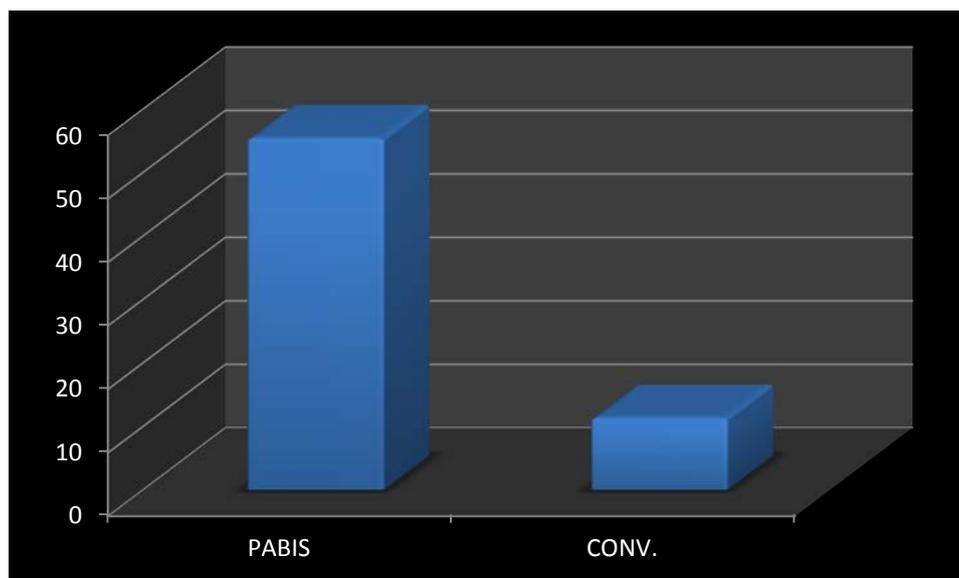
**RQ1a:** Is there significant difference between pre-service teachers exposed to PABIS and those exposed to conventional strategy in Primary Mathematics Activity-based lesson planning skills?

The ANCOVA reveals that there is a significant difference between the two groups of treatment on pre-service teachers' lesson planning skills ( $F_{(1,231)} = 604.15$ ;  $P < 0.05$ ;  $\eta = .80$ ). The effect size is given to be 80%. Table 4 reveals the magnitude of performance across the groups.

**Table 4: Estimated Marginal Means on the Treatment, Numerical Ability and Gender**

Variable	N	Mean	Std. Error
<b>Intercept</b>			
Grand mean (Post-score mean)	234	42.81	.76
Pre-score mean	234	13.93	.61
<b>Treatment</b>			
PABIS	73	55.37	1.30
Conventional (control)	161	11.32	.81
<b>Numerical Ability</b>			
Low	97	42.53	.76
Average	37	42.44	1.08
High	27	43.46	1.86
<b>Gender</b>			
Male	67	42.58	1.32
Female	94	43.03	.75

Table 4 reveals that the pre-service teachers exposed to PABIS have the higher activity-based lesson planning mean score (55.37) than those exposed to conventional teaching (11.32). This information is represented in a chart below:



**Fig.3: Activity based lesson planning Skills after Treatment across the Groups**

Based on this analysis, it can be inferred that there is a significant difference between the pre-service teachers exposed to PABIS and those exposed to Conventional Strategy in their acquisition of activity-based lesson planning skills. This finding was as a result of the effect of the instructional strategy used on the acquisition of lesson planning skills. In the first experimental group, the pre-service teachers were made to learn these skills in various ways, including: being taught using the strategy; being made to be learners in the activity-based Mathematics lessons; being allowed to access various activity-based lesson plans and being made to discuss the features of this type of lesson plan, all of which were based on the content of the course under discussion. Therefore, the pre-service teachers were able to gain a lot about planning primary mathematics lessons for this type of instructional strategy. This is in line with the submission of the National Policy on Education (FGN, 2004) that Mathematics should be taught in practical way. Pica, (2008) and Bahr et al (2010) also submitted that learners should do mathematics and not study it. The effectiveness of pupil-centred activity-based instructional strategy is in line with the findings of many studies such as Lakshmi (2005). Jensen (2008) opined that it will serve a child endlessly, and that, moreover, active, authentic learning is far more likely, than rote learning, to foster a lifelong love of the learning process. Pica (2008) believed that because it is more fun, learners in activity-based mathematics classes learn mathematics in a relaxed mood.

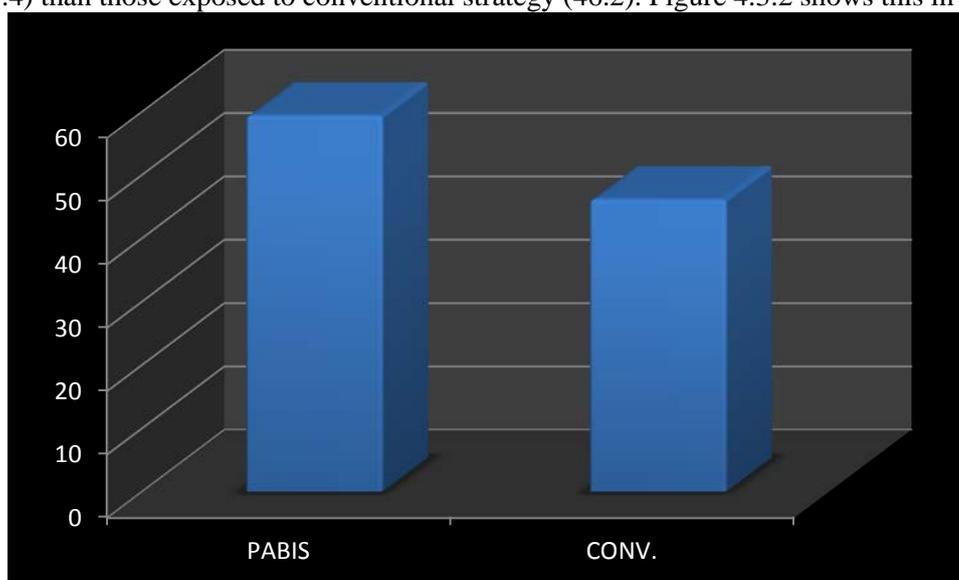
**RQ1b:** Is there significant difference between pre-service teachers exposed to PABIS and those exposed to conventional strategy in Primary Mathematics Activity-based lesson delivery skills?

The MANOVA reveals that there is a significant difference between the treatment groups in pre-service teachers' primary mathematics activity-based lesson delivery ( $F_{(1, 231)} = 58.23$ ;  $P < 0.05$ ;  $\eta = 0.30$ ). The treatment has the effect size of about 30% of the total variance in the dependent variable (Partial eta square = 0.30). Table 5 presents the magnitude of lesson delivery performance across the groups.

**Table 5: Estimated Marginal Means Showing the Lesson Presentation Scores of the Pre-Service Teachers across the Groups**

Treatment	Mean	Std. Error	Partial eta sq.
PABIS	59.36	.89	.299
Convent.	46.15	.80	

Table 5 reveals that those exposed to PABIS had the higher activity-based lesson delivery mean score (59.4) than those exposed to conventional strategy (46.2). Figure 4.3.2 shows this in a chart.



**Fig. 4: Bar Chart Showing Pre-service Teachers Activity-based Lesson Delivery Scores across the Groups**

Based on this, it can be inferred that there is a significant difference between pre-service teachers exposed to PABIS and those exposed to conventional strategy in their acquisition of Activity-based primary mathematics lesson delivery skills. Those exposed to PABIS have higher mean score than those exposed to conventional strategy. The finding that those exposed to PABIS acquired activity-based primary mathematics lesson presentation skills more than the other groups could be as a result of the fact that they were the only group that was exposed to pupils-centred active mathematics learning. They were made to learn primary mathematics actively wherein they did not only listen and observe, but also explored materials as well as the teaching/learning processes. In this case, they experienced all it takes to present such lesson. This finding corroborates the submission of Rieg and Wilson (2009) who argued that one approach to revitalising undergraduate education is by shifting pedagogy to a learner-centred focus and supporting an emphasis on the scholarship of teaching and learning. Many other scholars have also advocated learner-centred method of teaching in teacher preparation. Some of these are Rieg and Wilson (2009) and Alexander, Van Wyk, Bereng and November (2009).

The finding that pupil-centred activity-based instructional strategy is the best strategy for producing teachers that could deliver activity-based primary Mathematics lesson compared to any other teacher-centred method is in line with Masikunis, Panayiotidis and Burke's (2009) idea that an effective teaching cannot be attained by transmission model (lecture method) which is characterised by students sitting in rows, facing the lecturer who is considered as 'the sage on the stage'. It can only give a surface approach to learning and no deep understanding could take place. It also supports Filene's (2005) belief that at this level of education (higher education), students have grown up expecting or even demanding more than a 'talking head'. To this end, Cruickshank, Jenkins and Metcalf (2003) argued that the modified lecture method has one disadvantage that makes it inappropriate for pre-service teachers: it has a significant negative influence on the way the pre-service teachers teach the younger ones. The finding also supports the two factors identified by Finkel (2000) as being responsible for the failure of lecture method: (1) the lecturer presumes students have had experiences that they have not had and (2) reflection is done by the lecturer not by the students. Alexander, Van Wyk, Bereng and November (2009) also argued that learners' cognitive faculties were thus not engaged, resulting in what was termed 'rote drilling, memorization or cramming'.

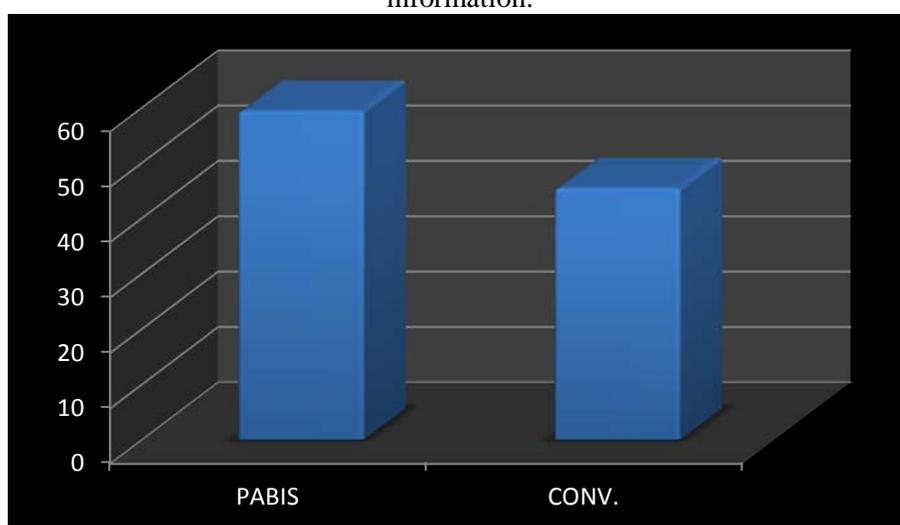
**RQ1c:** Is there significant difference between pre-service teachers exposed to PABIS and those exposed to conventional strategy in Academic performance in the Mathematics methodology course?

The MANOVA shows that there is a significant difference among pre-service teachers exposed to PABIS and Conventional strategies in their academic performance in Mathematics methodology course, PES 122 ( $F_{(1, 231)} = 60.11$ ;  $P < 0.05$ ;  $\eta = .31$ ). The partial eta square reveals that the treatment accounted for 31% of the total variance in the pre-service teachers' academic performance in PES 122. Table 6 reveals the magnitude of performance across the groups

**Table 6: Estimated Marginal Means Showing Performances of Pre-service Teachers in PES 122 across the Groups**

Treatment	N	Mean	Std. Error
PABIS	73	59.36	.91
Conv.	161	45.36	.83

Table 6 reveals that pre-service teachers exposed to PABIS had the higher mean score in PES 122 examination (59.4) than those exposed to Conventional strategy (45.4). The chart below depicts this information.

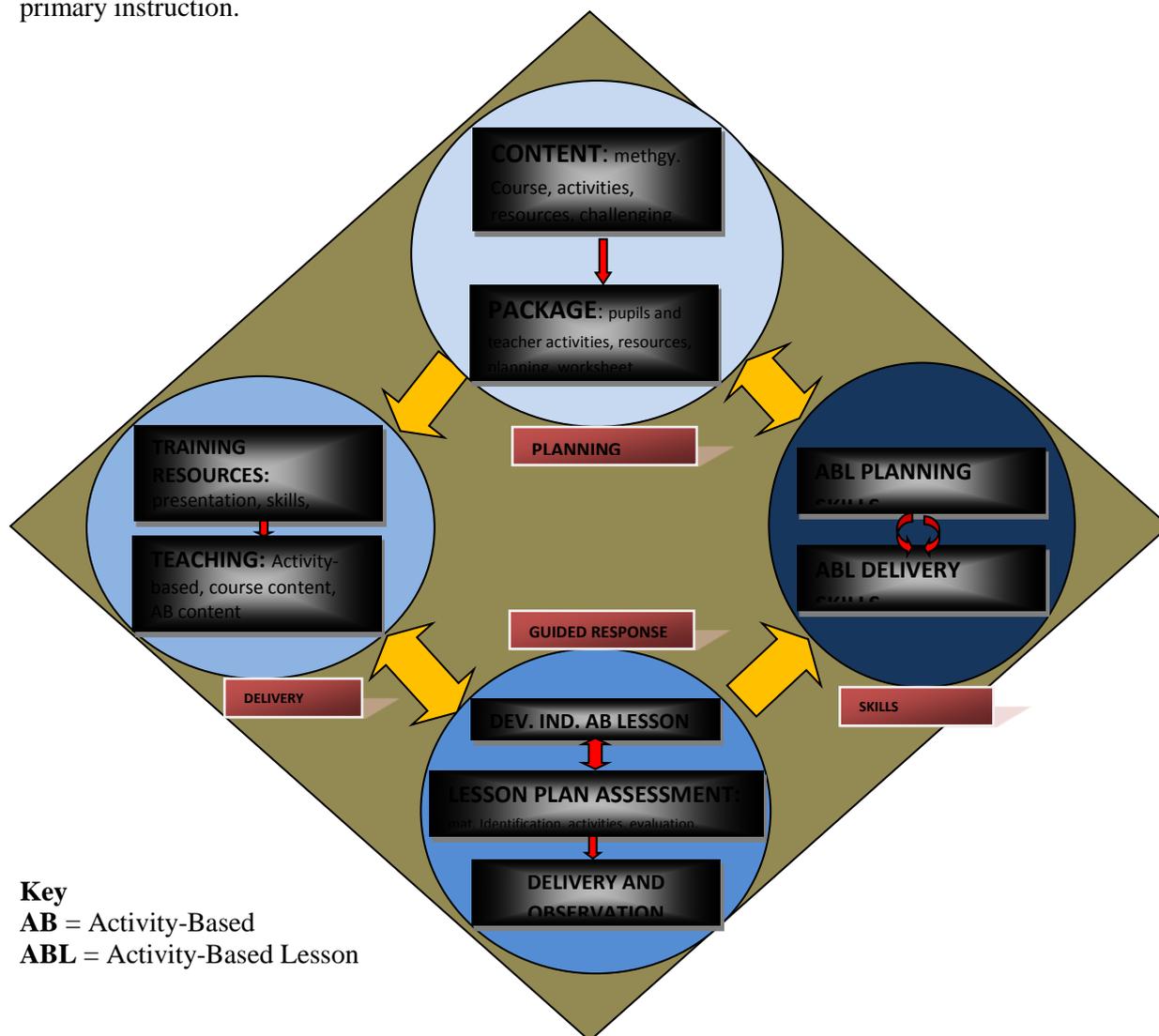


**Fig. 4.3.3: Bar Chart Showing Academic Performances of the Pre-service Teachers across the Groups**

From this, it can be inferred that there is a significant difference between pre-service teachers exposed to PABIS and those exposed to conventional strategy in their academic performance in the Mathematics methodology course (PES 122). Those exposed to PABIS had higher mean score than those exposed to conventional strategy in the subject matter knowledge (SMK). Therefore, the treatment has a great influence on the academic achievement of the pre-service teachers in primary mathematics methodology course. This finding confirms the claim of Hannaford (2005) that 'learning by doing' creates more neural networks in the brain and throughout the body, making the entire body a tool for learning. Many scholars have tested activity-based instructional strategies, just as done in this study, and found them effective in helping learners learn at different levels of education (English and Halford, 1995; Cubey and Dalli, 1996). This finding also corroborates the submissions of Lakshmi (2005) that activity-based instructional strategies are based on constructivist theory which states that learners are capable of constructing their own knowledge if allowed to interact, explore or be actively involved in the process of learning. It was argued further that these strategies allow individuals to create their own new understandings, based upon the interaction of what they already know and believe and the mathematical idea with which they come into contact. Therefore, this finding is of great importance.

**RQ2:** What instructional model can be proposed for the preparation of mathematics teachers in activity-based instructions?

Based on the whole study, a model for activity-based instructions for teacher preparation is proposed. It is believed that the adoption of this model by teacher trainers generally and primary mathematics methodology course lecturers in particular in any institution will produce teachers that will be able to deliver not only activity-based primary mathematics but any other pupil-centred primary instruction.



**Fig. 5.1: Activity-Based Instruction Model (ABIM) for Teacher Preparation**

Activity-based Instructional Model (ABIM) is a model with 4 major cyclical phases. These are:

- i. Planning stage
- ii. Delivery stage
- iii. Guided response
- iv. Skills formation

Planning stage involves two major activities. The first is the identification of course content to be delivered using this instruction. This course must be one of the methodology courses meant for the pre-service teachers. The lecturer must identify the activities that will be carried out by the pre-service teachers as well as the lecturer. These activities must be the ones that will be challenging to students at this level and all the needed resources must be identified. The second activity is to put together the instructional package that will be followed in the course of instruction. Based on the contents of the course to be delivered, the learners' activities, lecturer's activities, needed resources, worksheets for classroom activities and take home assignment must be planned and succinctly written down in the

package. The successful completion of this package marks the end of phase 'one' and lead to the second phase.

The second phase of the model is called the delivery stage. Here, too, there are two levels. The first is the level of training other resource persons that will assist in the delivery of the instruction. This is informed by the realisation that activity-based instruction for large number of students calls for more than a single hand. The resource persons must be trained on the skills needed for the presentation and assessment of activity-based lesson. After the successful training, the classroom interaction (Teaching) with the pre-service teachers could start. The interaction should feature activities on the course content. Not only this, some content of how to prepare for activity-based instruction must be injected into the instruction. These instructions are expected to last for the whole semester so as to cover the course content.

The third phase has a dual interaction with the second phase. The third phase can only happen after the second phase must have taken place; also, if the third phase is not well mastered by the learner, the second phase must be revisited. For instance, if a pre-service teacher should fail the course, he will repeat the class and go through the second phase again. This third phase is called guided response stage. This is the stage where individual pre-service teachers will be allowed to demonstrate what they have learnt so far while the lecturer guides their activities. Guided response has three levels: development of individual activity-based lesson plan; lesson plan assessment by the lecturer wherein the lecturer closely checks the following: material identification, activity suggested, tools and technique of evaluation suggested and domains of learning featuring; and, finally, activity-based lesson delivery and Teaching practise supervision to determine how skilful each pre-service teacher can deliver activity-based lesson. This phase leads to the last phase which is called skills formation.

Skills formation has two levels that are interwoven. These are the development of activity-based lesson planning skills and delivery skills. These two skills are formed almost simultaneously. The number of times of phase-three an individual pre-service teacher is able to do will inform how fast these skills will be mastered. When these skills are well formed, then individual pre-service teachers can now go to phase-one on their own which make it cyclical. Again, when the teacher tries more of phase-one, their skills formation will keep getting better and this will lead to origination in skills development.

It should be noted that this model is developed using primary Mathematics subject. It is believed that the model will be applicable to all other academic fields wherein teachers are expected to teach using learner-centred instructional strategies. Again, this model is expected to be applicable not only to activity-based strategies but all other pupil-centred instructions that are expected to be acquired by the primary school teachers.

## **Conclusion**

Based on the findings of this study, it can be concluded that activity-based instructional strategies, that is, Pupil-centred Activity-based Instructional Strategy (PABIS), is better than modified lecture or direct instruction commonly adopted for the training of primary mathematics teachers in the Colleges of Education in Nigeria. Both the Subject Matter Knowledge (SMK) and the Pedagogical Content Knowledge (PCK) are better acquired when activity-based instructional strategies are employed than when conventional, modified lecture is used. Finally, the teaching of primary mathematics methodology courses in Colleges of Education should include the training of how to plan and deliver activity-based lessons on each topic. It seems deficient to teach the pre-service teachers only the SMK and think they will automatically acquire the PCK on their own.

## **Recommendations**

The following are recommended as a follow up to the findings of this study:

- Lecturers of primary mathematics methodology courses in the Colleges of Education should be discouraged from using the conventional method of teaching (modified lecture or direct instruction). Activity-based instructional strategies are better, more effective options. The adoption of these strategies can be achieved through organizing training workshops for pre-service teachers where they can be taught the strategies. Besides

training, NCCE should ensure compliance by setting up a pedagogical monitoring section in each of the states, with trained staff on pedagogy that will supervise the teaching of these courses.

- With activity-based instructional strategies, lecturers of primary mathematics methodology courses should not be concerned so much with the effect of numerical ability or gender of the pre-service teachers. Rather, they should concentrate on developing the creativity skills of the teachers in the area of designing pupils'/teacher's activities that have the mathematical idea explicitly; it should include selection of materials to be used for the activities and how to evaluate the lesson at the end.
- Activity-based instructional strategies are material-driven; hence, each college should ensure that mathematical manipulative materials are adequately provided for the Mathematics Department. This could be achieved by asking the lecturers to make available the list of materials needed and the quantity at the beginning of each session. The college should then provide the fund for their purchase with adequate supervision. Besides this, the lecturers might be given allowances for mathematical manipulative materials each session and the purchase painstakingly supervised.

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## OVERCOMING THE CHALLENGES OF EDUCATION FOR ALL GOAL 1 IN SOUTH WEST, NIGERIA

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### **Abstract:**

Nigeria was a signatory to the world conference on education for all goal 1 in 1990 at Jomtien where the committee of nations gathered together to be committed to the six EFA goals making comprehensive early childhood care and education the number 1 goal. It also encourages the development of early childhood care and education. These legal and political commitments recognise that children are born with the right to have their learning needs met through approaches that promote their holistic development. However, there are a lot of challenges facing the implementation of this global issue as perceived by stakeholders in south-west Nigeria. One research question was raised and answered by stakeholders across 3 states in south-west Nigeria. 85 teachers, 31 caregivers and 54 sectional heads of both children from birth to three years and 4-6yrs, 86 parents from birth to 3years, 355 parents of children 4-6yrs and 48 health officers were involved. The findings revealed that to overcome the problems of EFA goal 1, in south-west Nigeria, the stakeholders had some consensus on the strategies that could be employed. Some of the possibilities are, provision of adequate service by government, parents, and teachers, provision of capital/fund by government, creation of awareness, adequate lectures to mothers, adequate provision of early childhood care health centres among others. It is therefore recommended that Nigeria government should meet up with her counterpart in the world.

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**Key Words:** Education for all Goal 1, Early childhood, Health care, Parents, Caregivers

### **Introduction**

Throughout the world, there is a growing understanding that the period from birth to the start of primary education is a critical formative stage for the growth and development of children. The learning outcomes-norms and values, knowledge, skills of primary education are stronger when learning occurs in the years preceding regular schooling (Temple and Reynolds, 2007). There is also evidence that early learning improves the child's chances of enjoying good health, of finding work later in life, of social inclusion and being less likely to commit crime (National Association of School Psychologists (NASP) 2002, UNICEF, 2003, Schweinhart, Montie, Xiang, Barnett, Belfield and Nores, 2005). A child born in the developing world has a four out of ten chances of living in extreme poverty, defined as living on less than one US dollar a day. An estimated 10.5 million children died in 2005 before they reached age 5; most from preventable diseases and in countries that have experienced major armed conflict since 1999. AIDS has orphaned more than 15 million children under-age 18, 80% of them in Sub-Saharan Africa. The rights of millions of children are violated by trafficking, labour, abuse and neglect. Many of the 50 million children whose births are not registered each year are unable to access basic services or schooling as a result (UNICEF, 2005b).

The importance of implementing school Health services for children is very pertinent because childhood is a period which the child undergoes rapid physical and mental development, it then calls for the need for healthy environment to avoid diseases that are likely to have effect on the child through life. Health and education are central to whatever policies and programme that are put in place for the well being of the child (Kitstel, 1998). They are fundamental human rights whose provision must be guaranteed, seen in practice and discharged without any discrimination, most especially in the case of the child whose future happiness depends largely on the extent to which these

particular rights are catered for. It is in this context therefore, that the United Nation (1989) made its declaration on the right of the child and stated that mankind owes the child the best and that best includes the best health possible". Good health, it stresses further, is the most urgent rights. Good health is not only desirable for it is a vital key to every aspect of a child's welfare, and development, education inclusive.

Under nutrition, deprivation of care and poor treatment are particularly damaging to young children, with repercussions often felt into the adults' years. Exposure to toxic substances and inadequate stimulation in the first years of life can have serious long term effects. A child who receives extremely poor care or rarely hears language (as in some orphanages) is likely to suffer development deficits that are difficult to redress later. Poor nutrition has a negative impact on school participation and achievement. Stunted children (those short for their age) are less likely to enroll in school and more likely to enroll and drop out. A severe or chronic lack of essential nutrients in childhood impairs language, motor and socio emotional development of young children. The limited coverage of organised early childhood programmes in sub-Saharan Africa makes it even more difficult to detect and treat health problems linked to poor nutrition.

The attainment of the goals of comprehensive Early Childhood Care and Education in the African context (and especially in Nigeria) is plagued with the following key challenges: (i) Poor political backing, that is, a weak legislative regulatory and policy framework, (ii) A weak socio-cultural base, (iii) a highly fragmented system, (iv) severely limited access, (v) Poor service delivery and high financial costs.

Poor service delivery is another vital challenge. There are several factors at work here of which the following are simply striking examples: First, the lack of quality assurance mechanism has led to wide variations in standards in terms of teaching-learning space, personnel, curriculum, materials, teaching methods and invariably the quality of learning outcomes. Second, because of the prevailing reductionist view of ECCE, most of the attention goes to formal pre-schooling, to the neglect of the other psychosocial needs of early childhood. Third, because of the prevailing mindset among parents that ECCE should be geared strictly towards academic head start at the primary level, there is an undue emphasis on orthodox pedagogy – frontal teaching, frequent testing, overloaded homework assignments, competition, rote learning, etc – from a very early age. Fourth, there is a scarcity of all-round childcare providers, especially as the emphasis on personnel development for ECCE has tended to dwell more on the teaching function.

High financial cost of ECCE is another vital issue, whether financial costs are high or not would depend on the following two main factors; costs in relation to the value of the service rendered; and costs in relation to the purchasing power of the person paying for the service rendered. Viewed from both angles, ECCE service provision is generally perceived to be unduly high in the African setting. Beneficiaries have even complained of a situation of inverse proportional costs of providing education, with pre-schooling costing more than primary education; primary education costing more than secondary; and Secondary education costing more than tertiary. {Obanya, 2006}.

### **Statement of the Problem**

Education For All (EFA) Goal I integrates both the health and education rights of the infant child. The health of the child is a matter of universal concern. However, the state of health of many Nigerian children is very poor. This is one of the challenges facing the implementation of the objectives of the EFA Goal I. This study therefore identified the ways of overcoming the challenges of EFA Goal I as suggested by the stakeholders

### **Research Question**

Based of the stated problem, the following research question was answered in this study:

1. What are the ways of overcoming the challenges of EFA Goal 1 as suggested by the Stakeholders?
  - (i) Teachers/ Caregivers
  - (ii) Section heads (from birth to 3yrs and 4-6yrs)
  - (iii) Parents of children from birth to 3yrs and 4-6yrs)
  - (iv) Health Care Workers

## (v) Educational Officers

**Methodology**

The study is non- experimental: Survey approach was adopted. 85 pre-primary school teachers, 31 caregivers from birth to 3 years old and 4-6years, 86 parents of children from birth to 3yrs, 355 parents of children 4-6yrs, 48 health care workers and 14 Educational officers were randomly selected across three States that make up the south west Nigeria. Then, three local Government areas were randomly selected from each State. Stratified random sampling was adopted in selecting 2 public, 2 private pre schools and 2 day care centres from each local government sampled. 36 pre-primary schools were visited across the 3 States, 18 Day Care centres, 18 health care centres and Education offices across the States for Data collection. Six instruments were used to collect data for the study: Teacher/caregiver questionnaire TQ/CQ, with reliability coefficient of 0.93 using Cronbach Alpha, Sectional Heads questionnaire with reliability coefficient of 0.94; parents (from birth to three years) with coefficient of 0.92 using Cronbach, Alpha, parents 4-6yrs with coefficient of 0.90 using Cronbach Alpha. Education officers' questionnaire with reliability coefficient of 0.89 using cronbach Alpha and Health care workers questionnaire with reliability coefficient of 0.98 using Cronbach Alpha.

**Data Analysis**

Data was analysed using frequency counts, percentages graphical illustrations and cross tabulations.

**Result**

What are the strategies that could be employed to overcome the problems of EFA Goal 1?

To answer this question frequency counts, graphical illustrations cross tabulation as well as percentages of responses were calculated and the results are presented in tables1 to 4 and figures 1 and 2.

**Table 1: Strategies of overcoming the problems as suggested by Teachers/Caregivers**

Items	Class Taught		Total
	Less or equal to 3 years	4-6 years	
Provision of adequate service by government, parents and teachers	57(183.9%)	4(4.7%)	61 (52.6%)
Provision of capitals/fund by government	12(38.7%)	2(2.4%)	14(12.1%)
Creation of awareness	4(12.9%)	2(2.4%)	6(5.2%)
Adequate lecture should be given to mothers and staff	13(41.9%)	32(38%)	45(38.8%)
Adequate early child care health centre	9(29.0%)	21(25.0%)	30(25.9%)
Government should pay regular attention to schools	1(3.2%)	1(1.2%)	2(1.7%)
Provision of competent staff/officials	3(9.7%)	21(25.0%)	24(20.7%)
Family planning should be encouraged	3(9.7%)	110(129.4)	113(97.4%)
Prayer and fasting	3(9.7%)	10{ 11.0(%)	13(11.2%)
Proper monitoring of fund	0(.0%)	7(8.2%)	7(6.0%)
Treat civil Servant equal/payment of salary	6(19.4%)	5(5.9%)	11(9.5%)
Provision of job/level of poverty should re reduced	9(29.0%)	30(35.3%)	12(10.3%)
Parents and teachers should support the government	2(6.5%)	30(35.3%)	32(27.6%)
Budget planning should be implemented on time	2(6.5%)	2(2.4%)	4(3.4%)

Table 1 shows the sampled caregiver of less or equal to 3 years children 57(54.4%) indicated provision of adequate service by government, parents and teachers as one of the ways to overcome the problems of some aspects of EFA Goal 1 while 4(4.7%) teachers of children 4-6 years indicated the same factor.12 (38.7) among the caregivers indicated provision of capitals/fund by government and

2(2.4%) of the teachers indicated the same. The table further shows 4(12.9%) of the caregivers indicating creation of awareness and 2(2.4%) of teachers indicating the same as part of the strategy that could be employed to overcome the problem of some aspects of EFA Goal 1. 13(41.9%) of the caregivers and 32(38.0%) of the teachers indicated that adequate lecture should be given to mothers and staff as part of the strategies to overcome the problems of some aspects of EFA Goal 1.

From the table, 9(29.0%) of the caregivers and 21(38.0%) of the teachers indicated that adequate, early childcare and health centre should be provided as one of the strategies that could be used to overcome the problems of some aspects of EFA Goal 1. 1(3.2%) of the caregivers and 1(1.2%) of the teachers indicated that government should pay regular attention to schools. It is further shown from the table among the sampled caregivers 3{9.7%} indicated provision of competent staff/officials as one of the ways of overcoming the problems of some aspects of EFA Goal 1 and 21{25.0%} of teachers of 4-6 years children. Also 3(9.7%) of the caregivers and 11(77.3%) of the teachers indicated that family planning should be encouraged, 3(9.7%) of caregivers, 10(12.9%) indicated prayer and fasting in order to overcome the problems of some aspect EFA Goal 1, 0(.0%) of caregivers and 7(8.2%) of the teachers indicated proper monitoring of fund. 6(19.4%) of the caregivers, 5(5.9%) of teachers teaching 4-6 years children indicated that government should treat civil servant equally/payment of salary. Moreover, 9(29.0%) of the caregivers, 30(35.3%) of the teachers suggested provision of job/level of poverty should be reduced as one of the strategies of overcoming EFA Goal 1. 2(6.5%) of the caregivers, 30(35.3%) of the teachers indicated that parents and teachers should support the government. 2 (6.5%) of the caregivers suggested that budget planning should be implemented on time.

**Table 2: Strategies of Overcoming the Problems of Some Aspects of EFA Goal 1 as Suggested by Section Heads**

Items	Class Headed		Total
	Less or equal to 3 years	4-6 years	
Provision of capitals/fund by government	8(44.4%)	1(2.8%)	9(16.7%)
Creation of awareness	4(22.2%)	1(2.8%)	5(9.3%)
Adequate lecture should be given to mothers and staff	9(50.0%)	16(44.4%)	25(16.3%)
Government should pay regular attention to the schools	2(11.1%)	1{2.8%}	3(5.6%)
Proper monitoring of the fund	2(11.1%)	4(11.1%)	6(11.1%)
Provision of competent staff/officials	4(22.2%)	11 {30.6%}	15(28.0%)
Family planning should be encouraged	3(17.0%)	35(97%)	38(70.4%)
Regular information should be passed out	1(6.0%)	2(6.0%)	3(6.0%)
Provision of job/level of poverty should be reduce	2(11.1%)	14(38.39%)	16(29.6%)
Parents and teachers should support the government	1(6.0%)	9(25.0%)	10(29.6%)
Budget planning should be implemented on time	1(6.0%)	2(6.0%)	3(5.6%)
Empowerment of all the local market to international standards	1(6.0%)	6(17%)	7(22.2%)
Obedience to government laws	0(.0%)	6(17%)	6(11.1%)
Provision of adequate service by government parents and teachers	13(72.0%)	2(6.0%)	15(35.2%)
Prayer and fasting	1(6.0%)	2(6.0%)	3(5.6%)

Table 2. 8(44.4%) of the heads of children less or equal to three years and 1(2.8%) suggested provision of capitals/fund by government as part of the strategies to overcome the problem of some aspects of Education for All Goal 1. 4(22.2%) of heads of less or equal 3 years indicated creation of awareness, 1(2.8%) of head of 4-6 years indicated same. 9(50%) of head of less or equal 3 years and 16(44.4%) of 4-6 years heads suggested that adequate lecture should be given to mothers and staff. Furthermore, 2(11.1%) of heads of less or equal to 3 years and 1{3.0%} of 4-6 years indicated that government should pay regular attention to the schools. 2(11.1%) of the heads of children less or equal to 3 years, 4(11.1%) of heads of 4-6 years children suggested proper monitoring of fund as one

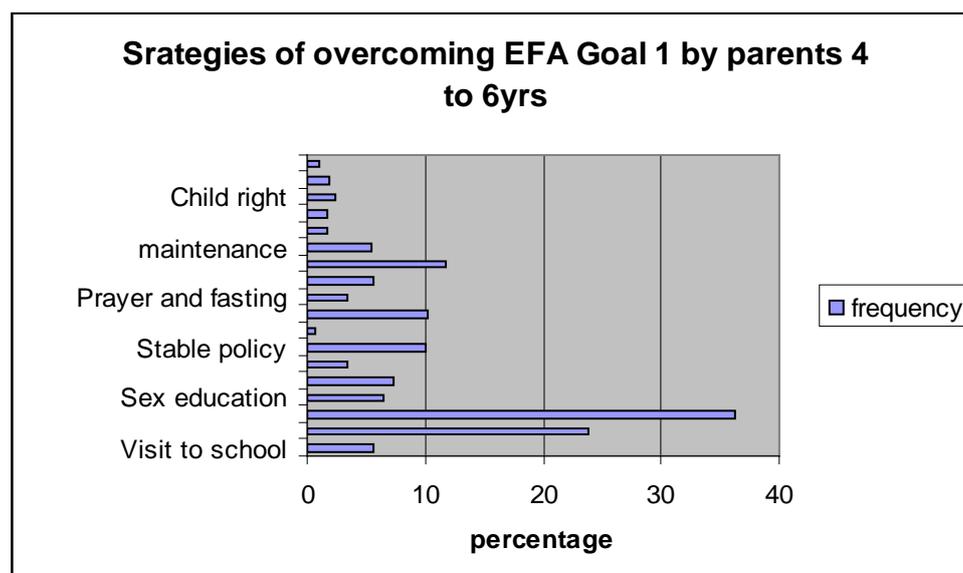
of the strategies to overcome the problems of some aspects of EFA Goal 1. Moreover, 4(22.2%) of the heads of less or equal to 3 years children, 11(31.6%) of heads of 4-6 years children indicated provision of competent staff/officials. Likewise, 3(17.0%) of the heads of less or equal to 3 years children and 35(97.0%) of children 4-6 years suggested that family planning should be encouraged. 1(6.0%) of the heads of less or equal to 3 years children, 2(6.0%) of heads of 4-6 years children stated that regular information should be passed out on ECCE. It further states that, 2(11.1%) of the heads of less or equal to 3 years children, 14(38.0%) of the heads of children. 4-6 years suggested that provision of job/reduction in the level of poverty as one of the strategies of overcoming the problems of ECCE.

1(6.0%) of the heads of less or equal to 3 years children, 9(25.0%) of 4-6 years head indicated that parents and teachers should support the government. Moreover, 1(6.0%) of the heads of less or equal to 3 years children, 2(6.0%) of the sampled heads of children 4-6 years, indicated budget planning should be implemented on time. 1(6.0%) of heads of less or equal to 3 years and 6(17.0%) of 4-6 years head indicated empowerment of all the local market to international standard. Likewise, 0(0.0%) of the heads of less or equal to 3 years children, 6(17.0%) of 4-6 years children indicated obedience to government laws as one of the means of overcoming the problems of some aspects of EFA Goal 1. 13(72.0%) of less or equals to 3 years head and 2(6.0%) suggested provision of adequate service by the Government. It is also observed from the table that 1(6.0%) of the heads of less or equal to 3 years children and 2(6.0%) of heads of 4-6 years children suggested prayer and fasting as one of the means of overcoming the problems of some aspects of EFA Goal 1.

**Table 3: Strategies of overcoming the problems of EFA Goal 1 as suggested by parents of less or equal to 3 Years**

Item	F	%
Provision of adequate service by government, parents and teachers	65	75.6%
Provision of capitals/funds by government	19	22.1%
Creation of awareness	5	5.8%
Adequate lecture should be given to mothers and staff	40	46.5%
Adequate care of the Early child Health care	5	5.8%
Government should pay regular attention to schools	4	4.7%
Proper monitoring of fund	7	8.1%
Provision of competent staff/officials	14	16.3%
Family planning should be encouraged	6	7.0%
Prayer and fasting	5	5.8%
Government should treat civil servant equal/payment of salary	17	20%
Provision of job/level of poverty should be reduced	2	2.3%
Parents and teachers should support the government	1	1.2%
Budget planning should be implemented on time	1	1.2%
Free education/free Health should be encouraged	5	5.8%

From table 3 it is observed from parents of less or equal to 3 years children that 65 (75.6%) suggested provision of adequate service by the government, 19(22.1%) suggested provision of capital/funds by government, 5(5.8%) suggested creation of awareness, while 40(46.5%) indicated that adequate lecture should be given to mothers and staff. Also 5(5.8%) indicated adequate care of the Early child health care, 4(4.7%) indicated that government should pay regular attention to schools, 7(8.1%) suggested proper monitoring of fund; 14(16.3%) suggested provision of competent staff/officials, 6(7.0%) indicated that family planning should be encouraged, 5(5.8%) indicated fasting and prayer, 17(20.0%) suggested that government should treat civil servant equal/ payment of salary. Also, 2(2.3%) indicated that job should be provided and level of poverty should be reduced; 1(1.2%) suggested that parents and teachers should support the government, 1(1.2%) suggested the implementation of budget planning on time, 5(5.8%) indicated free education/free health as means of overcoming the problems of some aspects of EFA Goal 1.



**Figure 1. Strategies of overcoming the problems of some aspects of EFA Goal 1 as suggested by parents 4-6 years children**

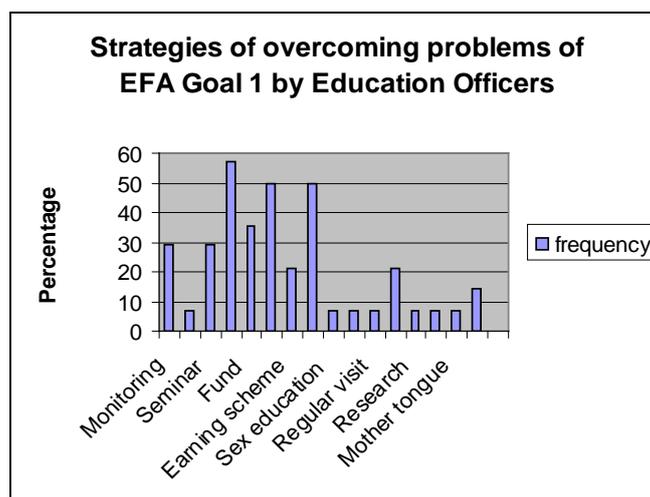
From figure 1, the sampled parents of 4-6 years children 20(5.6%) indicated that government should pay regular visit to schools and adequate supervision should be encouraged, 85(23.9%) indicated provision of adequate fund/capital, 129 (36.3%) indicated that public campaign and adequate awareness must be encouraged; 23(6.4%) indicated sex education for adolescent. Also, 26(7.3%) suggested the encouragement of family planning/census, 12(3.4%) suggested the encouragement of micro finance programme, 36(10.1%) suggested good administration/ stable government policy, 2(.6%) indicated adequate scheme of work for ECCE, 36(10.2%) suggested free health/free training, 12(3.4%) suggested prayer and fasting while 20(5.6%) suggested the encouragement of parental/care/mother tongue. Also, 42(4.8%) suggested increment in staff salary/regular payment, 19(5.4%) indicated proper maintenance of facilities available, 6(1.7%) indicated eradication of poverty, also 6(1.7%) indicated punishments of offenders while 8(2.3%) indicated the encouragement of child right. Moreover, 7(1.9%) suggested protection against child traffic and 4(1.1%) suggested that child education should be encouraged as means of overcoming some aspects of EFA Goal 1.

**Table 4. Strategies of overcoming the problems of some aspects of EFA Goal 1 as suggested by Health Care Worker**

Item	F	%
Declaration of assets by the rich to the government	1	2.1%
Qualified, adequate and trustworthy staff should be employed	18	37.5%
Training of staff, adequate lecture like seminars to staff	3	6.3%
Provision of adequate service	36	75.0%
Government should take proper care of Early childhood care	3	6.3%
Provision of adequate fund/capital	8	16.7%
Public campaign must be encouraged/adequate awareness	15	31.3%
Sex education for adolescent child	3	6.3%
Family planning/census should be encouraged	5	10.4%
Good administration/stable policy by the government	4	8.3%
Free and sound education/free health/free training	11	22.9%

From table 4 it is observed that among the sampled health care workers, 1(2.1%) suggested declaration of assets by the rich to the government as one of the means of overcoming the problems of

some aspects of EFA Goal 1, 18(37.5%) suggested the employment of qualified, adequate and trustworthy staff, 3(6.3%) suggested training of staff, adequate lecture like seminars to staff. Also, 36(75%) indicated provision of adequate service, 3(6.3%) suggested that government should take proper care of early childhood care and education; 8(16.7%) suggested provision of adequate fund/capital, 15(31.3%) indicated that public campaign/adequate awareness should be encouraged, 3(6.3%) suggested sex education for adolescent, 5(10.4%) indicated the encouragement of family planning/census. Also, 4(8.3%) suggested good administration/stable policy by the government; 11(22.9%) advocated free and sound education/free health/free training, 3(6.3%) suggested prayer and fasting. The other results on strategies of overcoming the problems of some aspects of EFA Goal I as suggested by Health Care Workers are indicated in Table 4.



**Figure: 2. Strategies of overcoming the problem of some aspects of EFA Goal 1 as suggested by Education officers**

From the figure 2, among the sampled Education officers, 4(29.0%) indicated effective education monitoring, 1(7.1%) indicated co-operation and unity among the parents, teachers and government, 4(29.0%) indicated training of staff, adequate lecture and seminars to staff, 8(57.1%) indicated provision of adequate service while 5(35.7%) suggested provision of adequate fund/capital. Also, 7(50.0%) advocated, the encouragement of public campaign and adequate awareness stable government policy. Also, 7(50.0%) indicated the encouragement public campaign/adequate awareness, 3{21.4% } suggested uniform earning scheme, while 50.0% suggested the employment of qualified adequate and trustworthy staff.

Furthermore, among the sampled Education officers, 1(7.1%) indicated sex education for adolescent child, 1(7.1%) suggested that government should take proper care of early childhood services, 1(7.1%) indicated that government should pay regular visit to schools/adequate supervision, 7(50.0%) indicated the encouragement of public campaign and adequate awareness 3(21.4%) indicated increment salary/regularity of salary, 1(7.1%) indicated that research should be encouraged by the government, 1(7.1%) indicated free and sound education/free health/free training while 1(7.1%) suggested encouragement of parental care/mother tongue as part of a means of overcoming the problems of some aspects of EFA Goal 1. Also 4(29.0%) indicated effective monitoring of education; 2(14.3%) suggested adequate scheme of work for early childhood care.

## Discussion

From the tables and figures of the sampled teachers, section heads parents of less or equal to 3 years 4-6 years children, health care workers and education officers, all these stakeholders have some consensus on the strategies that could be employed in overcoming the problems of some aspects of efa goal 1. Some of the possibilities are, provision of adequate service by government, parents and teachers; provision of capital/fund by government, creation of awareness, adequate lectures to mother, adequate provision of early childhood care health centres, proper monitoring of the fund, provision of

competent staff/officials, family planning should be encouraged, prayer and fasting, equal treatment of civil servant/payment of salary, provision of job/reduction in the level of poverty, parents and teachers should support the government and budget planning should be implemented on time. This was also corroborated by aina (2012) that parents should also support their children in their educational pursuit.

It is noted by echefulechi nna in the tribune of 22 november, 2008 that some parents and guardians, due to poverty, have resorted to using their children or wards to make both ends meet. It is recorded that government appears not to be helping matters either as its commitment to free health care for pregnant women and children are not enough to protect the children from abuse. As suggested by stakeholders, to overcome the problems of ecce, poverty alleviation measures must be put in place. Government must be committed to free health care for mothers and children. This corroborates the finding that there is no adequate service.

Unemployment should be reduced because high rate of unemployment in the states is pursuing most parents to indulge on child abuse. Tribune of 22nd november, 2008 also recorded it that our political leaders should revamp our decaying industries. An enabling environment should be created for investors to invest in the country. Odumakin {2008} reacted that parents because of poverty push their children out to trade. The problems identified and solutions are also in line with the study of ndukwu, (2005) that stated that budgetary allocation for pre-primary education is necessary to subsidise the cost of programmes at this level of education. Also that government should expand the policy on pre-primary education, to include its role in the provision of pre-primary schools.

### **Recommendations**

On the basis of the findings of this study, the following recommendations are made:

1. Homes, pre-primary schools and day care centres should provide adequate care, stimulating and enabling environment for children.
2. Mothers should be concerned about their health and the health of their children during pre-natal and post-natal periods since a healthy mother brings a healthy baby.
3. Health care workers should be integrated into the school system. They should be allowed in the school to create awareness on the health needs of the children.
4. Government should provide all the vaccines for children from birth to six years free to charge within the locality of the parents so as to encourage parents most especially indigent ones to take their children for health care.
5. Government should ensure adequate funding of EFA Goal 1 and monitoring group should be put in place to ensure the funds are used as expected.

### **Conclusion**

Some of the major problems facing the implementation of the three aspects of the EFA Goal I were identified to be lack of fund, lack of proper awareness campaigns by the government and lack of adequate service. Some of the strategies of overcoming the problems of EFA Goal I as suggested by the stakeholders are effective education monitoring, provision of adequate funds and capital, adequate awareness and services should be created. Nigeria pre-primary schools and daycare centres are not child friendly in the provision of cartoons, blocks for teaching shapes, geometric shapes and teachers' guide or manual. However, they are child friendly in terms of completed buildings, enough space to allow free movement, availability of chalkboards, teachers' tables and chairs.

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## VOCATIONAL GUIDANCE AND CAREER MATURITY AMONG SECONDARY SCHOOL STUDENTS: AN INDIAN EXPERIENCE

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### **Abstract:**

This study is focused on the stage of secondary education which is a critical period for the development of career maturity, when students are faced with ongoing academic and occupational decisions over the course of their study and these educational and vocational decisions pave the way for future decisions to be taken by any individual in the world of work. The present study aimed to examine the career maturity of secondary school students, by gender, type of school and vocational guidance provisions and know the perception of students about vocational guidance services in their schools. A sample of 160 students was drawn from eight secondary schools through stratified sampling technique. The quantitative and qualitative analysis of data revealed that females are found to possess higher career maturity than their male counterparts. Students of private schools show higher career maturity attitude as compared of students of government schools. Moreover, students in schools with vocational guidance and counseling provisions show high career maturity in self awareness and occupational information as compared to none from those schools which are deprived of these provisions, similarly in choosing a job, the students who are privileged to be exposed to the guidance and counseling programmes show much higher career maturity than their underprivileged counterpart. The findings of the study have strong implications for the policy makers and educationists for institutionalizing the vocational guidance and counseling programmes in secondary schools and delivering planned and systematic counseling interventions to increase the career maturity of secondary school students.

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**Key Words:** Vocational Guidance, Career Maturity, Decision-Making

### **Introduction:**

The problem of choosing, preparing and entering into careers have existed since the dawn of civilization. The process of vocational development denoting psychological, sociological, cultural and economic ingredients across time results in outcomes which are effective in vocational behaviour, decision-making ability and vocational maturity. Just as physical and intellectual development can be stunted if appropriate interventions are not applied, so can the normal developmental process of vocational development be stunted if appropriate interventions are not available in a planned, systematic way. There are specific skills that should be constructed and maintained throughout the life span in order to deal with career choice and management tasks at any given point in time (Super, 1996). A set of skills he proposed to develop include: knowledge of self-attributes (e.g., interests, skills/abilities, and work-related values), a well-defined self-concept, broad knowledge of the world of work, detailed knowledge and reality testing of occupations under consideration, awareness of the need to plan ahead, decision-making skill, knowledge and use of appropriate resources for career decision making. This set of skills, indicative of career maturity, can be used again and again in the changeable 21<sup>st</sup> century work environment.

Career maturity is a constellation of physical, psychological and social characteristics thus belonging to both the domains that of cognitive and affective. It is central to a developmental approach to understanding vocational behavior and involves an assessment of an individual's level of career progress in relation to his or her career-relevant development tasks. It refers, broadly, to the individual's readiness to make informed, age-appropriate career decisions and cope with career development tasks (Savickas, 1984). Fundamentally, Crites's (1971) model of career maturity consists of affective and cognitive dimensions. The cognitive dimension is composed of decision-making

skills; the affective dimension includes attitudes toward the career decision-making process. Similarly, focusing on the conative aspect, Coetzee & Roythorne Jacobs (2007) and Schreuder & Coetzee (2006) were of the view that career maturity refers to a person's ability to make career decisions that reflect decisiveness, self-reliance, independence, and a willingness to compromise between personal needs and the requirements of one's career situation. Moreover, it is not uncommon to find that students choose subjects of study which have little relationship with their vocational goals, with the result that many people get a traumatic shock when they find that they have not prepared themselves for the career which they wanted to enter. Often the mistake is realized too late in life. An organized programme of vocational guidance assists students in taking decisions wisely and realistically. Vocational Guidance may be seen as a process of helping a person to develop and accept an integrated and adequate picture of himself, and of his role in the world of work to test this concept against reality and to convert it into a reality with satisfaction to him and benefit to society. (Super, 1957).

Perusal of the extant literature reveals the influence of age, race, ethnicity, locus of control, socioeconomic status, work salience, and gender on career maturity. (Naidoo et al., 1998). The complex interaction of these factors affects individual's readiness to succeed in mastering the tasks appropriate to various stages of career development. It has been found to be influenced differentially in different culture, race and gender groups by certain psychological, educational and demographic factors (Lawrence and Brown, 1976; Pound, 1978).

Research findings exploring the impact of gender on vocational maturity are also far from equivocal. Most studies conducted over two decades have found that females in several age groups have higher scores on career maturity measures than males (Alvi & Khan, 1983; Herr & Enderlein, 1976; King, 1989; Lokan, 1984; Luzzo, 1995 Westbrook, 1984). In other studies (Fouad, 1988), females were higher on some subscales only. However, Achebe's (1982) study in Nigeria reported that males scored higher than females. Again, the complex interaction of other influences may make vocational maturity development different for women and men. Although women in Luzzo's (1995) study had higher career maturity scores than men, they were more inclined to perceive role conflicts and barriers as obstacles in their career development process.

Shifting the focus of study on individual variables like self concept, aspirations, identity and the like, Hasan (2006) examined whether self-concept, occupational aspiration and gender are capable of generating variance in career maturity of Indian adolescents studying in class X. It was found that all the three variables were potential enough in generating variance in career maturity. On similar lines, focussing on personality variables, Salami (2008) investigated the relationship between identity status and career maturity of secondary school adolescents. The findings indicate that the identity status significantly predicted career maturity of the adolescents but gender did not. No significant differences were found between the males and females in their career maturity and identity status.

Keeping in view the differences in the social and educational milieu of the schools, Dhillon & Kaur (2005) tried to study career maturity among the students of public and government schools. The results clearly indicate that the students of public schools possess a higher career maturity attitude, career maturity competence, as well as self concept and achievement motivation. Significant relationships have also been obtained between career maturity attitude and career maturity competence, internal locus of control and achievement motivation in case of boys in public schools and between career maturity attitude, achievement motivation and self concept scale in case of girls in public schools. On the other hand significant relationship has been found between career maturity attitude and external locus of control, achievement motivation and self concept in case of boys in government school and between career maturity competence and achievement motivation in case of girls in government schools. The present study aims to examine the career maturity of secondary school students by gender, type of school and provisions for vocational guidance and know the perception of secondary school students about vocational guidance services in schools.

### **Method:**

A sample was drawn from eight Secondary Schools of South and South West District of Delhi. A total sample of 160 X grade students were selected through stratified sampling technique, according to gender, type of school and vocational guidance provisions. Indian adaptation of Career

Maturity Inventory (CMI) was administered to study the level of career maturity among secondary school students and focused group discussions were conducted in each school to know the perception of students about the vocational guidance services in schools. The data was analyzed quantitatively by computing percentage and the salient trends were identified through qualitative analysis.

### Results:

The career maturity inventory attitude scale helped to know the conative aspects of the career decision making and entering the world of work. The level of career maturity of the x grade students in terms of decisiveness, involvement, independence, orientation and compromise in career decision making was assessed through the attitude scale.

**Table No.1: Showing level of career maturity on Attitude Scale among secondary school students with vocational guidance provisions by gender and type of school**

Gender	Type of School	Level of Career Maturity (%)				
		High	Above Average	Average	Below Average	Low
Male	Private	0	20	70	10	0
	Government	0	5	80	15	0
Female	Private	0	25	60	10	5
	Government	5	20	60	15	0

Analysis of the data on the attitude scale for schools with vocational guidance provisions (Table no.1) indicate that irrespective of the type of school (government or private) most of the males (80%) and females (60%) show average level of career maturity in term of decisiveness, involvement, independence, orientation and compromise in making career decisions. Gender wise variation in the level of career maturity is found with respect to the type of school. In case of females, high level of career maturity (5%) is found in government schools and similar proportion of females show low level of career maturity in private schools. Whereas in the case of males, larger proportion (20%) of students of private schools show above average level of career maturity as compared to 5% of those studying in government schools. So, at both the extremes high and low level of career maturity female students are more prominent. However, more variation in the level of career maturity in terms of decisiveness, involvement, independence, orientation and compromise in decision making is observed among female students then in male students.

**Table No.2: Showing level of career maturity on Attitude Scale among secondary school students without vocational guidance provisions by gender and type of school**

Gender	Type of School	Level of Career Maturity (%)				
		High	Above Average	Average	Below Average	Low
Male	Private	15	20	40	25	0
	Government	0	5	50	35	10
Female	Private	15	70	10	5	0

	Government	0	15	75	10	0
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Table No 2. Show the data pertaining to schools without any vocational guidance provisions. It is found that irrespective of gender, the high level of career maturity amongst secondary school students favour private schools more than the government schools, as equal proportion of males and females (15%) show high level of career maturity in private schools. However, 10% of male students of government school fall in the category of low level of career maturity as compared to none in private schools. Gender difference is found to be in favour of females in above average level of career maturity in both private and government schools. In case of private schools, the proportion of the females is much more (70%) than the proportion of males (20%). Similarly, in government schools the proportion of females is three times more (15%) than males (5%).

**Table No.3: Showing level of career maturity on Competency test among secondary school students with vocational guidance provisions by gender and type of school**

Gender	Level of Career Maturity	I (Knowing Yourself)		II (Knowing about jobs)		III (Choosing a Job)		IV (Looking Ahead)		V (What Should They do)	
		M	F	M	F	M	F	M	F	M	F
Government School	High	15	25	10	30	0	0	20	15	30	25
	Above Average	5	15	30	35	25	60	35	45	20	45
	Average	40	50	45	30	55	25	45	40	40	30
	Below Average	10	10	15	5	20	15	0	0	5	0
	Low	10	0	0	0	0	0	0	0	5	0
Private School	High	20	40	10	10	0	0	5	15	20	10
	Above Average	25	55	45	65	35	20	45	35	20	50
	Average	50	5	40	25	60	75	45	50	55	40
	Below Average	5	0	5	0	5	5	5	0	5	0
	Low	0	0	0	0	0	0	0	0	0	0

An analysis of the data on competency test of career maturity inventory, show that in private schools with vocational guidance provisions most of the males (60%) show Average level of career maturity in the competence of 'choosing a job' in terms of aptness in matching personal characteristics to occupational requirements whereas none show high level of this competence. However, in domains like 'knowing yourself' and 'what should they do' only 20% of them show high level of maturity. On the other hand, almost half (45%) of the males in these schools show an average maturity level in 'knowing about jobs' and 'looking ahead', however none show low maturity in any of the components. In case of females most of them (75%) show average maturity level on 'choosing a job' and none show high maturity level on this domain on the other, 40% of the females show high maturity level and 55% show above average level on 'knowing yourself'. Half of the female students show above average level of maturity on 'what should they do?' or problem solving and 65% show above average maturity on 'knowing about jobs'. However none of the female students show low maturity level on any of the components of this test. The data shows that both males and females possess above average maturity in knowing about jobs. Maximum proportion of males and females show average maturity in 'choosing a job' and none show high maturity. This is a pointer for interventions to be made to push the student's maturity to a higher level in this domain. In case of males, 'knowing yourself' needs to be taken care of in counseling sessions as only a quarter of them

show above average maturity this domain. In Government schools in case of males, none figure on the higher and lower extreme in the competency of 'choosing a job' and 55% of them show average maturity in this domain. Whereas in planning and problem solving almost similar proportion of male students show above average and high level of maturity respectively. In case of females, none show high maturity in 'choosing a job', but more than half of the females show above average maturity. Whereas 30% show high maturity on 'knowing about jobs', and half of them show average maturity in self appraisal. It may be suggested that counseling interventions may be required for 10% of those who show below average maturity in self appraisal and 15% of those in choosing a job or goal selection. Huge difference of thirty five percentage points is found between males and females showing above average maturity in the domain of goal selection.

**Table No.4: Showing level of career maturity on Competency test among secondary school Students without counseling provision by gender and type of school**

Gender	Level of Career Maturity	I (Knowing Yourself)		II (Knowing about jobs)		III (Choosing a Job)		IV (Looking Ahead)		V (What Should They do)	
		M	F	M	F	M	F	M	F	M	F
Government school	High	0	0	0	0	0	0	5	10	5	5
	Above Average	5	5	30	25	10	30	20	15	15	15
	Average	30	50	40	65	55	65	65	65	65	50
	Below Average	35	20	25	10	25	5	5	5	10	25
	Low	30	25	5	0	10	0	5	5	5	5
Private School	High	10	0	10	15	0	0	10	20	15	10
	Above Average	15	25	30	25	0	20	40	30	10	30
	Average	25	35	40	30	60	65	45	40	65	60
	Below Average	35	35	10	30	40	5	5	10	10	0
	Low	15	5	10	0	0	10	0	0	0	0

Table No.4 shows the data on career maturity on different domains in school who have counseling provisions. In case of private schools none of the males show high and above average maturity in goal selection, however, more than half of the male students show average ability in this domain and in problem solving. In components like self appraisal and choosing a job 35% and 40% of the students show below average maturity respectively. Critical areas of intervention may be in the domains of self appraisal and choosing a job or goal selection. With respect to females, none show high on self appraisal and goal selection, whereas, the proportion of students showing average ability in goal selection and problem solving are similar to the proportion of males and almost the same proportion (35%) of the females students to that of males students show below average maturity in self appraisal. So again the critical areas for intervention are self appraisal and choosing a job or goal selection. It may also be said that females are better than their male counterparts in problem solving. In Government schools without counseling provisions none of the males show high maturity level in any of the components except planning and problem solving where the figure is only 5%. More than half of the males show average maturity in goal selection, (55%), Planning (65%) and problem solving(65%). Almost similar proportion of males show below average maturity(35%) and low maturity (30%) in self appraisal, whereas a quarter of them are of below average maturity in knowing about jobs and goal selection so in this case, critical areas of concern is self appraisals and choosing a job. On the other hand, in case of females none show high maturity in any of the components, except planning and problem solving (10% and 5%). A quarter of them show above average maturity in occupational information and 30% in goal selection and more than half of the females (65%) show

average maturity in knowing about jobs, goal selection and planning. Whereas half of them show average maturity in self appraisal and problem solving. Since 20% of the female students show below average maturity and 25% show low maturity in self appraisal with a quarter of them showing below average maturity in problem solving, these areas need more interventions programmes.

Hence, in the private schools self appraisal and problem solving are common areas of concern in males irrespective of whether they study in schools with counseling provisions or without counseling provisions. Whereas choosing a job or goal selection is an area of concern only for those males who study in schools without counseling provisions. On the other hand goal selection is a common area of concern for females irrespective of the counseling provisions in schools however, self appraisal is an area of concern only for those females who are studying in schools without counseling provisions. In government schools, without counselling provisions, in case of males and females, the critical area to be focused on is what should they do? In case of females, in the domain of knowing yourself and knowing about jobs, interventions need to be made in schools which do not have counseling provisions.

**Table No.5: Excerpts from focused group discussions of secondary school students**

Questions	Counseling Provision		No counseling Provision	
	Government school	Private school	Government school	Private school
Q No.1 Do you think there is any need of providing vocational guidance services in your school?	Yes, there is a Need for Vocational guidance services	Yes, there is a Need for Vocational guidance services like: Exploring talent, Developing confidence, Staying fit and Active , Exploring out new dimensions related to education	Yes, there is a Need for Vocational guidance services like: Bringing a change from daily routine, Develop skills, Explore talent, Effective decision making, Knowledge enhancement	Yes , there is a Need for vocational guidance services in order to Remove Confusion, Develop clarity, To enhance job opportunities
Q No. 3 Are you satisfied with the vocational guidance services provided in your school (in terms of duration per week etc, information given & expert counselor effectiveness)?	Not Satisfied with the vocational guidance services	Yes completely Satisfied with the vocational guidance services/activities as Counseling sessions takes place frequently	Not Satisfied with the vocational guidance services/activities	Partially satisfied with the vocational guidance services/activities
Q No.6 What suggestions would you provide for improvement in vocational guidance services in your school so that you get the maximum benefit out of it?	Career fairs, workshops to be organized, Experts from various fields should come to give counseling sessions ,	Only career Guidance	Proper counseling and guidance, Improving Quality of education	Provision of a counselor, Conducting workshops, seminars etc.

	Proper guidance from the teachers			
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The salient trends that emerged from the focused group discussion of the students in Table no. 5 are that irrespective of gender, type of school and counseling provisions in school, all the secondary students felt the need of vocational guidance services in school for various reasons like exploring talents, developing skills, effective decision making, remove confusion, develop clarity and enhance knowledge and job opportunities. It was also revealed that although counseling provisions existed in some government schools, the students were not satisfied with the services being provided to them. However, in schools where counseling provisions did not exist as a regular programme of the school curriculum, little efforts were being made in terms of seldom inviting experts from outside to address the students which did not serve the purpose, as is clear from the students' dissatisfaction. Suggestions for improving the vocational guidance services through various seminars, workshops and career fairs were put forward by the student which is a strong indicator for the needs of the secondary school students and the quality of the vocational guidance services provided in the schools.

### **Discussion:**

The finding of the present study pertaining to the gender disparity with respect to career maturity confirms the findings of Alvi & Khan (1983); Herr & Enderlein (1976); King, (1989); Lokan (1984); Luzzo (1995) Westbrook (1984) that females have higher scores on career maturity measures than males. Similarly study Luzzo (1995), Rojewski, Wicklein, & Schell (1995) too have revealed that young women have significantly higher levels of career maturity than young men. In another research, Hasan (2006) found that self-concept, occupational aspiration and gender were potential enough in generating variance in career maturity of Indian adolescents studying in class X. A possible explanation of the gender differences may be hypothesized to be related to gender differences in the rate of overall maturation, which generally occurs earlier in females than males, thus suggesting a specialized approach to career guidance and counseling for girls as viewed by Herr & Enderlein (1976) and Omvig & Thomas (1977). Naidoo et al. (1998) also found out that not only are there gender differences in career maturity, but female students indicate more commitment to the work role and possess higher value expectations from work. In contrast to the above results, some studies have however reported males scoring higher than females as in Achebe (1982) in Nigeria, Watson (1984) in South Africa and Gupta (1987) in India. These contrary gender differences may be expected to manifest in countries where women are traditionally seen to be dependent on men, and where the concept of a career is a relatively new for women as viewed by Watson, Stead & De Jager (1995). Overall, it may be said that development of career maturity differs for females and males. Keeping in view the differences in the social and educational milieu of the schools, the finding of this study that private school students show higher career maturity as compared to their counterparts in government schools align with the findings of Dhillon & Kaur (2005) which clearly indicate that the students of public schools possess a higher career maturity attitude, career maturity competence. However, the role of counseling in improving the career maturity as suggested by Egner and Jackson (1978) after conducting a counseling intervention programme for teaching career decision-making skills is substantiated by the results of the present investigation which revealed that students in schools with vocational guidance and counseling provisions showed high career maturity in self awareness and occupational information as compared to none from those schools which are deprived of these provisions, similarly in choosing a job, the students who were privileged to be exposed to the guidance and counseling programmes showed much higher maturity than their underprivileged counterpart. Moreover, the study of P.K. Tulsi (1983) on the differential effects of career guidance strategies on vocational maturity patterns revealed that treatment in both self-awareness and occupational information proved to be beneficial in realizing vocational maturity, which endorse the

positive role of the guidance and counseling interventions in improving career maturity of secondary school students.

### Conclusion:

The findings of this study suggest some pointers for the counseling interventions, where the counselors may engage to more adequately address the career decision making needs of the secondary school students. Instead of assuming that career maturity may naturally increase with age or higher grades, counselors may develop and plan for systematic interventions which may be an integrated component of the curriculum to provide the students with abundant opportunities and learning experiences to develop more mature career decision making attitudes and competencies. This planned and systematic programme aiming at increasing the career maturity of students, should also be constantly reviewed and monitored to assess the effectiveness of the interventions and mold the strategies in align with the received feedback.

Education policy makers, planners and counselors need to recognise the relevance of vocational guidance and counseling programme for school students irrespective of the class, gender, type of school and the like and the need for such programmes have been expressed quite strongly by the students themselves during the focused group discussion in the study. There is need to institutionalize such programmes, improve the quality of already existing programmes and continuous evaluation for assessment of effectiveness and revisiting our planning whenever required. Vocational guidance and counseling needs to be introduced as an integrated component of the curriculum at all stages of school curriculum with diverse objectives depending upon the needs of the students in each stage of education. This would ensure a strong foundation to make career decisions appropriately at secondary and senior secondary stages of education. Moreover, during the secondary stage well-formulated and realistic concepts about self and the world of work need to be developed which would make for easier transition from school to work.

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## A NATIONAL ACADEMIC DEPOSITORY

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### Abstract:

The National Academic Depository of India is a crystallized vision. The depository was conceptualized to digitalize academic awards offered by educational institutions at one place. The depository can eliminate the need to store awards in physical form. It can verify the awards issued by different organizations to different individuals. The secure digital depository is a good remedy to fake and forged certificates. The concept of academic depository is very similar to the concept of financial securities. The concept of depository was tried out with the help of academic awards of one examination body in India. The pilot was completed successfully. In order to become fully functional, the depository has to overcome a few challenges with respect to academic diversities in terms of duration of courses and equivalence. The Legislation on academic depository is being drafted to take care of these challenges. Besides that, the NAD is begetting with many other new kinds of uses and possibilities. The NAD may open up new roles for the educational institutions as well such as to prepare reports for teachers from examination data on teaching learning gaps rather than just labeling students. Academic Depository is a pioneering effort of its kind in the world.

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**Key Words:** Academic depository, Dematerialization of academic credentials, Smart card of qualifications, E-verification of degrees and certificates,

### Introduction

Evaluation is integral to education so is certification to evaluation. The practice of awarding degrees and mark sheets on unique water mark paper is an age old tradition. The 'award' on a unique paper, style, color and size is the mark of the pride for an institution. Similarly, the preservation and accumulation of various awards is the pride of an individual. Both individual and institution preserve the data on qualifications for different reasons. However preservation is a challenge for both. The awards are used by the employers as indicator of quality of the manpower being hired. The employer also verifies these awards.

The idea of establishing a National Academic Depository (NAD) or Repository is a novel and unique concept to cover existing needs of these three stake holders. Besides that, the NAD is begetting with many other new kinds of uses and possibilities.

### Academic Awards and Issues

**Preservation:** At individual level, these credentials are preserved in files and folders with the help of lamination type techniques in physical form. There are innumerable instances when insects, mice, fire, water and misplacement of certificates has created difficult situation. In such circumstances, the individual goes back to each of the awarding institution for issuance of duplicate certificate. Besides that, an individual has to produce copy of these certificates throughout his/her career which may span to four or more decades.

At the institution level, storing of data on qualifications is a marathon task. At CBSE, as per data storage policy, the data is stored for thirty long years. However, being a school board, CBSE certificates are also used for verification of date of birth of the individual. This may be required in some cases right upto the time of retirement of an individual. This would obviously mean that the policy of maintaining the records for a period of 30 years may not be sufficient.

**Theft:** At the institutions level, security measures are observed for security of blank certificates, printing of certificates and result dossiers. The digital data is securely held in password protected CDs in the custody of a senior official. In case of theft of a certificate, the authenticity is

verified from the stored data. If a data is manipulated it is verified from the backup data records maintained at different locations at the time of result preparation. The paper theft of certificates is protected by the institution by selecting secure printer and by using security marks at different places. The security marks are placed at 9-14 places. If the complaint is with respect to forged certificate, it is verified from the unique security marks used by the individual institutions. With these measures, the problem of theft of data or certificate is rare at the institutional level. It has been reported only twice in last twenty years at CBSE.

**Forgery:** The forgery is most common problem. The employer is not able to differentiate the original from the forged certificate as there are hundreds of awarding institutions in a country and thousands in the world. Taking advantage of the difficult scenario, many forged degrees get through the system without being detected. For a department dealing with sensitive issues, verification of degrees of the prospective employees is a huge task. The racket of forged certificates also includes getting duplicate issued from the awarding institution and letting it used by the person having same name.

**Touts:** The awarding institution has to maintain a full fledged branch or section for the verification and issuance of duplicate copy of awards. The processes are cumbersome and time consuming for the individual. At one hand, the stringent steps and documents required to establish genuineness of the records is annoying for the genuine individual. On the other hand, laxity in rules and processes allows issue of duplicate certificate to fake individuals. Taking advantage of the needs, fragility of records, and complex processes, middle men also start operating.

**Number of records:** The number of records is another issue. As per the press release, 1179182 students appeared in class Xth in the year 2012 in the CBSE. The Storage of their data for fifty long years till their retirement is a huge task. The CBSE maintains one office at Ajmer for storing and verification alone.

As per the study conducted by Council of Boards of Secondary Education (COBSE), the total enrollment in the year 2011 in all school leaving exam is approximately 7.5 million in India. As per the target of the country, approximately 3 million students would enter in different courses in tertiary level courses for another 3-5 years. The multiplicity of records and tracking it individual wise is a mammoth task.

**Tracking individual:** The mechanism of linking of various academic records of an individual is not available as on date. If an individual has passed two examinations from the same examination body, the identity of the individual cannot be ascertained. Because the identification key is the roll number issued to an individual for a particular exam. The roll number varies from exam to exam even though exam may be conducted by the same examining body. The linking of academic records of different examining bodies is still farfetched but desirable. Under the circumstances it is recorded at individual level only. The resume is prepared by individual only.

**Qualification resume:** There is no way to determine how many individuals are available on a particular date having combination of two or more required qualifications except advertising in a city, state or country. If an organization/ government want to know how many individuals are available below forty years having legal and commerce degree, it cannot be find out. Thus collating desired information from the plethora of people is almost impossible.

**Quality improvement:** At present educational institutions are performing the function of judging and labeling students through exams. The examination data is not being used to provide feedback to teachers, school and colleges to inform about gaps in learning and teaching. Performance of the students on 'items of assessment' is not being prepared. The academic awards are not serving the purpose of systematic 'systemic' improvement.

### **The National Academic Depository Concept**

The depository of academic credentials is conceptualized as a befitting solution to the problems faced by individuals, employers and awarding institutions. It would store multiple qualifications earned by an individual from multiple institutions. The academic depository would be a recurring store of the qualifications earned by an Individual from school to college level, pre to in service level at one place. It would also facilitate an individual to accumulate, preserve and list all his

/her qualifications at one place. A smart card of qualifications can also help the individual to present his credentials with just a swipe.

Some universities and some of the school boards in India keep their records in electronic form. It is a recent but growing phenomenon. Similarly the practice of online verification is still rare. In India It is made available by Central Board of Secondary Education (CBSE) since 2004 and by University Grants Commission (UGC) of National Eligibility Test (NET) since 2006. Many more educational institutions are in the offing to follow the practice. The depository is conceptualized to store academic awards of all the institutions at one place. It will facilitate the employers to verify the credentials of the potential candidates from one source itself.

The depository would store the data in electronic format. It would curtail the problem of physical storage and mutilation of awards caused by environmental vagaries. The depository would verify and issue duplicate of academic awards itself curtailing the work load of academic institutions.

The depository can generate reports of academic awards individual wise, institution wise and subject wise. The reports could be generated by any variable for better manpower planning of the country.

In addition, the depository may also specify the level of qualifications as per the education qualification framework of the country. If accreditation framework for all the programs gets established in the country, the depository may also certify the quality of awarding institutions at the time of award.

The need for depository is magnified in the present context of skill development, Information Technology and demand to update oneself continuously. The National Vocational Educational Qualification Framework (NVEQF) proposes to draw parity between academic vs professional, and pre vs in - service qualifications offered by different recognized institutions.

The frequency of earning academic awards has also increased due to IT enabled education platforms. A generation back, a person used to work for three or more decades based on qualification once earned during his adolescent years. Today job demands earning academic credentials intermittently say every five years. Today an individual can earn recognized qualifications all through his/her life through formal or informal mode of education-

### **Mechanism**

At the conceptual stage of the academic depository, the parallel could only be drawn with financial securities or with the digitalization of land/building record repositories where certificates are scanned, digitalized and retrieved with the help of document management systems (DMS). The financial securities trade with money. The Land and building repository deals with land/plot as a unit and national academic depository is to deal with degrees. The academic depository falls in the middle of continuum with respect to standardization of its units.

The money has a standard unit. Because of this 'standard' the money can be added and accumulated. The financial security system or dematisation of shares could build itself upon the edifice of very well laid out banking system. The Information technology added speed and accuracy wherein regulatory framework secured it against theft.

The Land/building repositories are not having standardized process of converting unit into value. The land/plot repository deals with each plot as a unit. These units are stand alone units. The unit is not transposable by itself. The process of conversion of plots into value is arbitrary. Therefore the requirement of this repository was to protect, retrieve, verify and store the documents alone. The DMS provided the solution. This was a rudimentary model for the requirement of the academic depository.

The Academic depository has academic credentials in the form of certificates which can be added but the units are not as sophisticated as money. At the same time, requirements is much more than property records where scanning alone of the certificate can not suffice the purpose. The process of accumulation and value of academic records is neither arbitrary nor standardized but is very close to a standard.

Therefore the academic depository was conceptualized on the model of dematisation of shares. In a financial depository, shares are held in electronic form. A demat account of an individual is like a portfolio which gives an account of number and value of shares owned by an individual of

different companies. The regulatory body of market i.e. Securities and Exchange Board of India (SEBI) has mandated that all trading has to be in electronic form. The regulations are formulated for trading processes and registration of agents.

On the similar lines, it was conceptualized to formulate a law on academic depository that would help establish and protect such a system in the country. The law can mandate organizations as well as processes of the depository. As per available information, such a depository of academic qualifications does not exist in any country.

For the first time Ministry of Human Resource Development (MHRD) of India floated an Expression of Interest for establishing a depository of academic credentials. Many interested parties responded in response to the EOI. The data security is of paramount importance for academic depository. Therefore it was decided to engage only government financial depositories (there are two in India) which are registered with Securities and Exchange Board of India (SEBI). These are National Securities Depository Ltd (NSDL) and Central Depository Securities Ltd.(CDSL). No other organization was issued asked to participate.

### The Pilot study on NAD

Meanwhile, the MHRD instructed Central Board of Secondary Education (CBSE) to carry out a pilot project with both the agencies to test the concept. The pilot study would also help in the preparation of the legislation. The CBSE assigned the task to NSDL and CDSL with the following mandate:

1. Provide access to CBSE to the database of the depository.
2. Facilitate CBSE to efficiently upload, in the database, the academic qualifications awarded by it.
3. Train CBSE in the process of lodging and retrieval of records of academic qualifications from the database.
4. Provide efficient online verification of any specific academic qualification stored in the database, if required.
5. Verify and authenticate any specific academic qualification in the database when so requested by any person.
6. Provide an authenticated copy of contents of any specific academic qualification in the database when so requested by any person.
7. Maintain the authenticity, integrity and confidentiality of the database.
8. Ensure that the national database is, at all times, accessible online to authorized person.
9. Inter operability mechanism
10. Any other function which depository wants to demonstrate in their solution.

The pilot project was conducted with the results of the class XII and the Central Teacher Eligibility Test (CTET) conducted by the Board. The number of awards used in the pilot study is given in the following table:

Academic Award	Number of awards
Senior School Certificate Examination 2011	7,70,042
Central Teacher Eligibility Test 2011	7,94,079
<b>Total Number of records</b>	<b>15,64,121</b>

The CBSE issued a circular dt. Oct.11<sup>th</sup> 2011 to all the school principals to use the facility of online verification lodged with two depositories and to provide feedback. The data was available for three months. The viewership details are as follows:

Particulars	Count
People visited NAD site	781
Users registered	279
Number of Verifications done	118

The pilot on depository demonstrated the following seven features:

**Registration:**

The access to data was available to only authenticated users. The users were required to register with NAD. An online registration form was available to the users for registration purpose.

**Uploading of academic awards by registered academic institutions (Boards / Universities)**

The CBSE could upload the details of its academic awards to NAD. The NAD specified the file format in which the data files were to be prepared. A provision was also available to forward the academic awards data in a portable media to NAD for further uploading.

**Verification of awards**

Registered users with NAD had the facility to verify the academic awards lodged in the database.

**Mapping of Academic Awards**

Certificate holders who got registered with NAD had the facility of mapping their academic awards available in the system to their NAD account by submitting a request to NAD agent. Once the awards are mapped, certificate holder was able to view his awards under a single view in his login.

**Authentication Certificate /Mark Sheet request by certificate holder:**

Registered certificate holder requested NAD to issue authentication certificate / mark sheet. Facility to email/courier Authentication certificate / mark sheet as per the request of the certificate holder was also available.

**MIS Reports for academic institutions**

Facility to generate reports was available to academic institutions such as state wise, status wise (pass/fail) number of records etc. This facility is of immense use to educational planners. The report on number of verifications done by other users on the academic awards issued by them was also available.

**User Management:**

User management allowed entities like boards / universities etc. to create and manage their own operational users. The administrator of entities created by NAD had the following features

- Create Operational users,
- Assign user rights to operational users,
- Modify details of operational users,
- Reset/Change password of operational users in case of forgot password.

**The Logistic features:** The hardware of the pilot was classical three tier architecture hosted on open system platform comprising Web server, Application server, database servers and SAN storage. This architecture was used because it helps segregation of presentation layer (user Interface), Business logic (application) and database hosting. The modular implementation improved maintainability and allowed for scaling up of any layer independent of the other layers. Further, separating these layers in independent network enhanced the security. A few distinct features were:

- A strict adherence to J2EE standards so that a migration to any middleware was feasible without major re-writing efforts. The software was thus truly platform or product agnostic and portable.
- 128 bit URL authentication SSL certificate from a recognized Certifying Authority for the Authentication of the NAD site to the user and enable encryption of data transferred over the network.
- A clearly defined standard file-format for academic award file preparation.

- The academic record could be submitted in a clean text ASCII format facilitating convenience in preparation for the various types of academic institutes who use wide-ranging technology and database platforms. These files were fixed record length with pre-defined character as delimiter thus reduces the File size and for efficient transfer of data over the network.
- A Platform independent file validation utility for the academic institutes to verify whether the files prepared by them were as per the prescribed file format.
- file validation utility to ensure that the data was not tampered after it is passed through the utility and before it is uploaded in NAD system.
- A web-based facility for direct uploading of academic record files with digital signature;
- A provision to send digitally signed electronic copy of academic award to the specified email addresses.

NAD System was accessible to all users over Internet. To ensure security several measures were taken which included:

- Two sets of firewall of different make each having hot standby redundancy.
- Intrusion detection system (IDS).
- Access for users from CUG as well as Internet was restricted to only web servers located in demilitarized zone. Application and database servers were located in secure zone and access was permitted through firewall to only known IPs of NSDL Group internal infrastructure.
- To ensure highest level of security, access to the DB Server was permitted only through application server. The web servers (where user request from public network was terminated) did not have any direct access to database servers.
- OS of servers had been hardened to ensure that only required services and ports were activated.
- Only authorized users were allowed to access the system.
- The system used both password as well as Digital Signature Certificate (DSC) based authentication mechanism. The high end users such as Academic Institutes and NAD Agents can access the system using only DSC based login.

#### **Software development tools, operating stems and hardware used**

- The NAD system was J2EEE compliant with major development being done in Java. File Validation utility which was freely downloadable was developed using c++ and Java.
  - Web servers were configured on Red hat Linux Enterprise version as an OS and Apache Web server. The JBoss was used for application server and PostGres as RDBMS.
  - The entire set up was configured on Intel platform.
- The pilot was successful with both the agencies. The feedback of the Pilot was given to the MHRD as an input to the draft Bill on National Academic Depository.

#### **The national Academic depository bill**

The Bill proposes to make it mandatory for all the academic institutions to upload data in the depository. It also provides for safeguards for security of storage, access, retrieval of records. It has added a few more functions such as issuance of duplicate certificate by the depository. There would be more authorized institutions other than academic institutions to act as agent on behalf of depository. There would be stringent punishments if data is tampered with.

The bill is silent about cost recovery method by depositories. During the various discussions with NSDL and CDSL, it was suggested that service should be free for students and academic institutions. The charges should be levied on employers and others who may use the service for verification purposes. The depositories would work on Build, Own and Operate (BOO) model.

#### **The challenges for the NAD**

The NAD has a few challenges to overcome before it can provide meaningful service. The first challenge is of number of accounts. Ideally every student graduating from K-12 level should have

an account in the depository. In the present scenario where elementary and secondary education is going to be made compulsory, the number of students graduating from the k-12 level is going to be more than ten million. At present, student has different roll numbers for different exams at one hand and on other hand there are more than thirty boards and five hundred universities in the formal education system alone. The number of institutions awarding degrees through informal and in-service education is much more than formal system. Unlike the financial securities, wherein an account holder is identified by the PAN number, there is no mechanism to identify an account holder in the academic depository to map the academic credentials. It is desirable that Academic depository should take cognizance of UID/ Aadhar/ for opening of new account. The educational institutions have not yet started following the practice of using Aadhar for enrollment purpose. A policy directive may help build this practice.

The second challenge is number of institutions in the country. The knowledge Commission has recommended opening of three thousand universities as against existing four hundred. The vocational mission recommends opening of one lakh vocational centers in the country during twelfth plan period. All the institutions eventually need to get registered with the depository. The IT may provide the solution. There could be possibility of inter and intra operability of different depositories located at two or more locations.

The third challenge is of equivalence of qualifications. At present pre service qualifications offered by recognized school Boards and Universities are having a mechanism to establish equivalence of degrees/awards. At present formal education system is also going through a change. It is changing from annual exams to credit based system. The credits would help in standardization of academic units. These units can be added and accumulated. Another paradigm shift is taking place from concept based curriculum to competency based curriculum to define a level of education. It is evolving. The clarity on its framework is prerequisite for the depository.

Besides formal education, there are many training programs offered outside the formal education system by the organizations for their respective employees. These are recognized by the employers for the purpose of employment but are out of the ambit of recognized qualification framework. The academic depository would pose big challenge before the educational planners to decide on equivalence of awards offered by informal and in- service education providers. Leaving these qualifications out of the ambit of the depository would make it truncated.

The fourth challenge is of security of data. The financial securities have faced IPO scam in spite of many safety measures. The system lacked restrictive mechanism to check an individual from opening multiple accounts. The academic depository is also vulnerable on account of determination of identity of the student as of today.

## **Conclusion**

There are many challenges related to hard ware, software, logistics, security and acceptance of depository by the students and academic institutions. It needs collaborative efforts of IT, education, planning, legal and media professionals. Though at present, the depository may fulfill only part of the objectives It should not deter us from taking this further. The depository may go alongside with academic institutions to begin with. Both may be storing the data for a few years till the time, the depository becomes full proof solution. If planned meticulously and established successfully, the NAD of India would prove to be beneficial for storing, retrieving, verifying the degrees and information system for planners. The data would help in manpower planning of the country. It may open up new vistas for quality enhancement in teaching and learning by reducing mundane work load on educational institutions. The educational institutions may take up other more important tasks such as analysis of quality of test items, preparation of performance on items and feedback report to teachers, schools and colleges. It would help in serving the main objective of evaluation by enhancing quality of teaching and learning. It would also show the path to other countries to follow the initiative.

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## ENHANCING UNIVERSITY STUDENTS' STUDY SUCCESS THROUGH CARING LEADERSHIP

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### Abstract:

Today's educational policies aim at making higher education more effective. However, in order to realize this in practice more attention should be paid on university students' study processes as a whole. In this article, we discuss the factors that comprise student teachers' study processes at universities. Especially focus will be on what are such activities in higher education administration that could enhance university students' study success? This study is a part of a larger research project in which university leaders (n = 13) in Finland and USA were interviewed in 2012. They were asked to describe their perceptions of caring leadership at universities. In this research, the connection between caring leadership and students' study processes was studied. According to the results, caring leadership can enhance students' study success. We argue that universities, their leaders and educators, should be more thoughtful and willing to genuinely help and confront students as individuals. A multidimensional framework of factors affecting students' study paths with caring leadership as the empowering element is introduced as the conclusion.

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**Key Words:** Love-based leadership, student well-being, study process, university leadership, caring leadership

### Introduction:

At the time when increasing demands on efficient and productive higher education and high numbers of student drop-outs (e.g., Kuh et al., 2008; Määttä & Uusiautti, 2011b; OECD, 2010) and prolonged university studies (OECD, 2010; San Antonio, 2008; Schoon et al., 2010) does not seem to go in the same directions, new ways of considering higher education are needed. How to make university students' study paths smooth and have them succeed in their studies?

In this paper, we discuss how the goals of education could be achieved by employing caring leadership in higher education. This study was a part of the research project called "Love-based leadership – an interdisciplinary approach" ([www.ulapland.fi/lovebasedleadership](http://www.ulapland.fi/lovebasedleadership)). We think that a particular positive and caring viewpoint could be something that today's higher education would need. For example, Cruce, Wolniak, Seifer, and Pascarella (2006) suggest that good practices in education have a unique, positive impact on student development as they can affect, for example, student engagement which can be seen as one main pillar in successful and meaningful study path. Kezar and Kinzie (2006) have introduced features of a quality undergraduate education which has been associated with student engagement: quality begins with an organizational culture that values high expectations, respect for diverse learning styles, and emphasis on the early years of study; quality undergraduate curriculum requires coherence in learning, synthesizing experiences, on-going practice of learned skills, and integrating education with experience; and quality undergraduate instruction builds in active learning, assessment and prompt feedback, collaboration, adequate time on task, and out of class contact with faculty (see also Kuh, 2003). Likewise, Theilheimer (1991) have presented a detailed list of five factors that contribute to a positive learning environment: 1) comfort (creating a feeling of safety, accommodating errors, giving students the freedom of expressing themselves without constraints, creating the feeling of belonging to peer group); 2) clarity (providing clear instructions, breaking down material to smaller chunks to maintain the feeling of accomplishment,

however small); 3) respect (mutual respect between students and the teacher); 4) relationships (particularly caring relationships between the teacher and individual students, teacher attending each student individually); 5) responsibility (giving students a degree of control over decisions concerning their learning).

Of its theoretical basis, our study is based on the phenomenon of love. Love means deep caring for others making life worth living. In other words, love is an emotion of strong affection and personal attachment and still, it is difficult to define love comprehensively (Määttä & Uusiautti, 2013). Furthermore, love can be seen as a virtue or strength representing human kindness, compassion, and affection (e.g., Seligman, Steen, Park, & Peterson, 2005). In this study, we combine the fundamental idea of love with leadership in higher education which we call caring leadership (see also Uusiautti, 2013; Uusiautti et al., 2012). In the study this article is based on, our purpose was to analyze how caring leadership in higher education can be employed to make students' study paths smoother and what its relationship with other factors affecting students' study success is like. Thus, we review love in university leaders' work from the point of view of the students' study processes.

Caldwell and Dixon (2009) have defined love, forgiveness, and trust as organizational constructs that are freedom producing, empowering, and vital to enhancing followers' self-efficacy. When leaders consistently exhibit love, forgiveness, and trust in relationships, their employees respond with increased commitment and loyalty. Moreover, happiness can be directly translated into engagement, productivity, and satisfaction (Prewitt, 2003; see also Rego et al., 2011). It has been argued that sensitive leaders develop a culture that demonstrates concern for individual needs (Fairholm, & Fairholm, 2000; Popper & Amit, 2009). Happiness not only produces a quantitative improvement by increasing efficiency but also qualitative one by making a better product or outcome by virtue of pride, belief, and commitment. Emotions and emotional intelligence have even been considered as the heart of effective leadership (Goleman, 2006). Furthermore, an ethic of caring establishes a moral touchstone for decision making (Hoyle, 2002) as leaders' elicitation of love regards other people as the cause, target, or third-party observer of these emotions (Fischer & van Kleef, 2010).

Given this perspective on love and leadership, we were interested in researching how university leaders talk about the connection between caring leadership and students' study success. This viewpoint contributes to the overall knowledge about caring leadership practices but specifically to awareness of the multidimensional nature of higher education organizations and factors affecting the smoothness of university students' study processes. Finally, the study makes a contribution to the particularly salient focus of our research project which is to determine how the love-based aspect might be used in elaborating research models for re-thinking and designing caring learning environment, students' psychosocial well-being, and for developing the models of caring and love-based leadership in education context.

### **Method:**

In this qualitative research, 13 university leaders were interviewed (Patton, 1990). The interviewees included: deans and associate deans (N=5); and department chairs or department managers (N= 8). Seven participants (three women and four men) were from a general university and a university of applied sciences in Finland, while six (all men) were from one university in the USA; the purpose of including participants from two countries was to collect experiences that were as diverse as possible. The participants were recruited by email, which also gave them information about the research project and an outline of the interview.

As the interviewees worked in universities, their work was closely connected to not only their followers but also to university students. Therefore, leaders discussed their leadership in relation to the study opportunities and conditions among students at their universities. For this paper, we analyzed how the university leaders actually perceived their role in promoting university students' study success and fluent study processes. The specific research question set for this study was as follows: How did university leaders perceive caring leadership as means of enhancing university students' study success?

In this study, university leaders revealed a rich store of personal perceptions and experiences, although the qualitative nature of the study did not permit generalizations to be made. Data were

organized and described in an inductive manner in order to identify categories that represented university leaders' perceptions of caring leadership and its influence on students' study processes (Mayring, 2000). All their perceptions were first categorized into themes according to the way leadership was discussed in relation to students (e.g., leadership actions for the students, providing resources and quality teaching). Then, the perceptions were re-categorized into three main categories that represented the leaders' perceptions the best: using caring leadership for (1) providing resources for quality education, (2) seeing students as equal group and promoting the sense of solidarity, and (3) treating students as customers.

In reporting the results, excerpts from the interviews were added to retain the interviewees' voices and help readers to follow the analysis and conclusions. The code after each quotation identifies the interviewee, for example, "F1W" means "participant number 1, woman, Finland," and "U5M" means "participant number 5, man, USA."

### **Results:**

The manner in which university leaders' contemplated the nature of caring leadership and their action as leaders in relation to students' successful study processes could be divided into three viewpoints. According to the university leaders' perceptions, they could use caring leadership for (1) providing resources for quality education, (2) seeing students as equal group and promoting the sense of solidarity, and (3) treating students as customers.

#### ***Caring Leaders Provide Resources for Quality Education***

The first category refers to the relationship between outer factors affecting education and the way the education is realized in practice and provided to students. The current educational policies regarding funding in universities were reflected by the university leaders. They were aware of the pressure of doing research and having students graduate:

The pressure within the public university environment has really focused more and more around money.--- [Universities] have to be doing more research, they have to be taking more students, they have to be generating more programs. (U2M)

At this level, in a university, those kinds of push for excellence and productivity make it pretty difficult to be I think a loving leadership model. (U4M)

Although they realized that the demands of competition and productivity can make it more difficult to employ caring leadership in universities, the university leaders could see their position and possibilities of making the use of their leadership. They seemed to consider themselves responsible for ensuring the high quality education and support for students.

I mean, your [the leader's] job is to make life better for all the faculty and students so they can do what they need to do: their research, their teaching, and the students, so they learn and get their degree, go out there and make us all proud. To do that, you got to be a leader. (U5M)

A lot of times, that requires that you're going to make sure that the quality of the education that the students get is going to be the highest possible. (U6M)

In practice, caring leadership appeared in wish to guarantee as quality education for students as possible by using the available resources in a purposeful manner, reallocating it to activities that would benefit students' study processes (e.g., by decreasing teachers' and professors' administrative work), and enhancing the spirit of everybody doing their share and best for the students and the university.

We have to guarantee such resources that the quality of education is considerably better than it is now, that the operation is meaningful and we can take the best possible care of students. That will also benefit work life. (F6M)

I find it surprising that we so much administrative work at the university... Teachers have to send emails to various pupils, and they do a little bit of this and that? That's administrative work. And if we had an employee to do that work, it would be much more logical. (F7M)

#### ***Caring Leaders Promote the Sense of Solidarity among Students and Faculty***

The second viewpoint expressed by the university leaders was related to the atmosphere at the unit. They considered it important for the students' study success, commitment, and overall

satisfaction that the people at each unit and at the university would share the sense of togetherness and solidarity.

The caring that I have my organization, I got 700 employees, about 18,000 students. The caring I have is for all of them, and so, everybody gets treated that way. (U1M)

You can have more family-orientation. - - We are only interested in our own research and we hardly ever collaborate. I think that at the individual level, you know, I think working with your own doctoral students, we can have more personal caring relationship. The stress of competition is not good but working with individual students and dissertations, that's more satisfying, working with students in the classroom. (U4M)

As the latter of the aforementioned data excerpts show, the sense of togetherness was also seen as the answer to the ever-increasing pressures of productivity and individual success. Working together could benefit not only students and the faculty but the whole organization. Moreover, the university leaders named actual measures that they themselves used in practice in order to improve the spirit of collaboration at their units. The leaders talked about treating everyone equally and promoting open and informal interaction among the faculty and students.

Our community; we have students who are equal members of this work unit in their own role, and we have the personnel... This [university] is quite a world of its own compared to the normal units. (F6M)

Management by walking around and I think it is insane that teachers for example sit in a separate cabinet away from students or where leaders sit on a different table than employees. I can affect in those daily situations in which I can mold in the community and stick together with them. (F7M)

We're trying to re-develop the area around the university to build more coffee shops, restaurants, bars, music places ... I think that leadership is all about getting people to feel connected and engaged... A research university - - should make a very clear connection with the practical world of the community and the faculty and the students. (U1M)

According to the findings, the students' study processes could be enhanced by increasing open interaction and collaboration in units. Caring leadership thus could be seen the means of showing example by spending time with people, discussing problems, and initiating actual proposals for actions, be they small-scale collaborative actions such as the faculty and students having coffee in the same table, or larger scale measures, such as improving offerings within the overall education environment. Caring university leaders thus pay attention to their followers' and students' overall well-being. They realize that a well-functioning unit with a good and inspiring spirit can offer the best premises for students' study success and through this, the success of the whole unit and the university as well.

### ***Caring Leaders Perceive Students as Customers***

The previous category described how the sense of solidarity could support students' study paths. The third category takes the thought at the personal level by seeing students as the customers. According to the results, the university leaders' way of perceiving students resembles a whole new way of defining customership. It is not just demands expressed by the customers but merely collaboration and desire to find out what is the best for them through reciprocal interaction: students as customers are simultaneously seen as partners, too. From this point of view, caring leadership was considered a means of paying attention to students as individuals, taking care of them at the personal level, and respecting them as the most valuable part of the university. The university leaders expressed this idea as follows:

In academics, you need to be very careful that the students should come first. And I think that's a big difference between academics, a leader in academics and a leader in industry. - - I really try to do what is best for the students first. And then I try to do what is best for the faculty and the college. (U6M)

Here, where you don't necessarily have a product, per se. You are not making televisions, but the other thing is: What is the product of higher education? You might think the student, I'm saying, no. You can't claim another human being as your product. - - No, the curriculum is your product. I just refuse to think, if you use business analogy and you're a dealer, a car dealer. It's not the customer

that's your product, it's your car. So, since when, if we look at that, why not students are our customers. (U5M)

The university leaders described that when students are perceived as customers of higher education, they can feel they are being supported and heard. Caring leadership was manifested in personal relationships with students:

I have a good, direct, and open relationship with students. I hope at least, and sense that I am approachable and they come to discuss their problems and studies, and quite openly have confided in me. (F1W)

In addition to direct interaction with students, some university leaders perceived their position as a possibility to support their followers, department chairs, professors, and other faculty, in creating the favorable relationship with students and supporting them in their studies. Caring leaders thus could see their support and guidance they provide to their followers as the way of supporting students' study processes.

I empower my team of chairs, they're the ones that I really want out there leading and getting feedback and I want to support them. So I try to work through them, so I've spent a lot of time pruning that group, developing that group, trying to coach those people. And I see their success as really my success. - - [I want to] support the chairs really connecting with students. (U1M)

From time to time, I've sent them [the faculty] reminders about why we are working here and how important it is to work together despite the fact that your work loads are heavier because of the financial times but remember why you're here: It's the students' smile when they leave your office. You know it's working and reminding them of that ultimate goal. (U3M)

The way caring university leaders can show their support to their ultimate customers, students, is to make sure that people working at the unit are aware of the purpose of their work. This was also the question of respecting students. One of the leaders described the situation by giving an example:

If you have an office and you open at 8, it's not just good at all, not good for the students, not good for the whole college, if you're not there at 8 o'clock. - - If there is no one there, we are not respectful to them. (U6M)

The leader continued with the example as he considered that it is also the caring leader's task to make sure that not only the followers are aware of their responsibility for students and have accepted them as their customers, but also they have to be on a first-name basis with their jobs. If they still do not find their work meaningful, the leader's task, for the sake of the students and the employee himself or herself, is to help the employee find the meaning in the job or reconsider the job description.

If you say I don't like my work, I'm just shuffling papers, then I can explain, ok, there's the reason why you're shuffling this paper, because the students need this, the students. Maybe there are some forms that students need. - - But sometimes people are not in the jobs. You have an opportunity to identify that like when you really explain why some things have to be done and still that individual does not find it meaningful, then I would engage in little better professional planning. (U6M)

### **Discussion:**

The results of this study complement our previous studies of factors directing university students' study processes (Määttä, 2012; Määttä & Uusiautti, 2011a; 2011b; 2012; Uusiautti, 2013; Uusiautti & Määttä, 2013). We have previously described the teacher student's study process as a sum of factors at the student's personal level, the unit level, and the overall regulations, values, and cultural traditions that control education. Although they do not explain a successful study processes alone, their development and significance should be paid more and more attention at universities. Figure 1 illustrates the interconnectedness of students' study processes and factors affecting it. We consider caring leadership the fundamental enabling and empowering element influencing all levels of study processes.

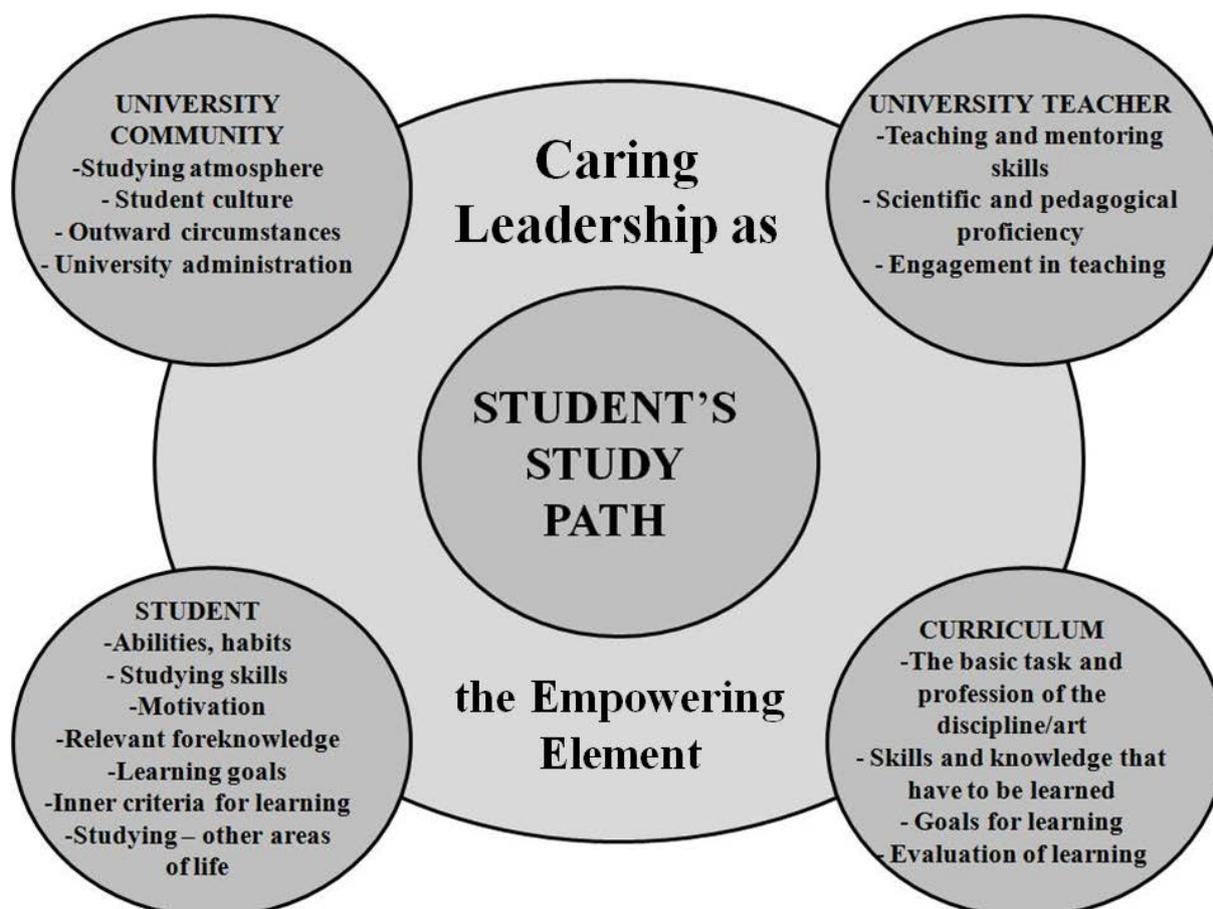


Figure 1. University students' study path in relation to its core factors (adapted and molded from Määttä & Uusiautti, 2011a, p. 52)

In this study, caring leadership was considered in relation to students' study success. At the personal level, students' study processes vary greatly depending on their backgrounds, starting points, study skills, and experiences they get during their education. Students have certain abilities and habits related to their learning history and experiences and that can strengthen their knowledge and self-efficacy. This conception is either strengthened or dashed at the university (Biggs, 1987; Cassidy & Eachus, 2000; Gettinger & Seibert, 2002; Lindblom-Ylänne & Pihlajamäki, 2003). On the other hand, we want to emphasize students' motivation which reflects in their way of seizing studies and persistence (Allen, 1999; Mäkinen, 2000). Certainly, outer rewards matter too. Receiving positive and encouraging feedback on one's own progress is important as it improves one's receptiveness to new learning experiences and tolerance of failures whereas the perceived feeling of insufficiency, poor performance level, and teachers' inadequate guidance and disinterest decrease motivation (Pajares, 2001).

In this study, university leaders talked about considering students as customers. From the students' perspective, this means that they are valued and noticed at the university. They received support and guidance when needed and feel respected as an important part of the university. In addition to sufficient support and guidance, there are other means to enhance students' well-being, too. Studies should also be in balance with other areas of life: interesting hobbies, good human relationships and family life, versatile and relaxing leisure time act as a good counterbalance to studying (e.g., Lowe & Gayle, 2007). Some university leaders talked about mutual free-time activities that could be provided at or nearby the campus. Participating in these kinds of activities would also increase student engagement. For example, Kuh's (2003) framework for student engagement is based on five benchmarks: level of academic challenge, enriching educational experiences, supportive campus environment, student-faculty interaction, and active and collaborative learning. Therefore, it seems that engagement is one basic concept when considering successful studying.

Naturally, everyone also perceives success in studies subjectively and evaluates personal achievements in different ways (Maddux, 2002). Expectations for the future affect greatly how people react on changes and challenges (Carver & Scheier, 2002) and there are various strategies that lie behind the one that leads to active and meaningful studying. From the perspective of university students' success, it seemed that caring leadership can function as a means to support students at their personal level and enable them to find and employ their personal characteristics, talents and strengths, in the best possible manner during their studies.

The leaders in this research talked about the sense of solidarity and communality among the faculty and the students. At the unit level, the educators' pedagogical and scientific professionalism, curricula, and the atmosphere and conditions of the unit (see Määttä & Uusiautti, 2011a; Uusiautti & Määttä, 2013) can be named the core factors.

According to the findings, if the students were regarded as customers, the curriculum was named the product. It should fulfill the promises of education and thus be cutting-edge. Basically, the curriculum provides both teachers and students with a clear goal. It answers the questions of what kinds of expertise students will have in the training program and what kinds of study entities they will study along with the study units. Five stages can be distinguished in curriculum work (see Alaoutinen et al., 2009): (1) to define the basic task and profession of the education/discipline/art, to evaluate the need for education; (2) to define required competencies and general goals of teaching; (3) to define the model of curriculum; (4) to define the goals, contents, workload, and methods for study entities and units; (5) to determine the communication in the curriculum; and (6) to evaluate the curriculum and the proficiency produced by it and its constant development. Learning goals in the curriculum tell what students are expected to know after taking a certain study unit, and they also direct working and the way learning, teaching, and studying are being evaluated.

When pursuing the valued outcomes, students need special support and guidance. What was highlighted in the university leaders' interviews was the importance of equal and open interaction between the faculty and students. This is how the new kind of perceiving students as customers was manifested in leaders' thinking: leaders seemed to perceive themselves as eternal students as they wanted to learn more about leadership and how to promote the well-being of the whole unit including the faculty and students. Therefore, their customership implication appeared as reciprocal relationship with students. Namely, university leaders highlighted the importance of seeing students as an equally important group of people at the university and open and positive atmosphere.

More detailed lists of the nature of support and guidance have been given, too (e.g., Haapaniemi, Voutilainen, & Ikäheimonen, 2001). Määttä (2012) has divided the resources of a good supervisor into four dimensions. In her illustration, (A) Will: A supervisor's commitment to supervision, (B) Knowledge: substance knowledge and/or the mastery and ability to comprehend the overall structure, (C) Actions: Ensuring that the contents meet the scientific quality requirements, and (D) Proficiency: positive and supportive supervision methods and personality constitute the four fundamental features of supervision. The length of the square's sides varies with the supervision situation. Nor does the area remain the same. A supervisor can emphasize different features depending on his or her own style and on a student's work habits and needs. Supervision is not likely to succeed if one of the aforementioned resources is completely missing.

Many characteristics of university community either enhance or hinder students' smooth progress on their study process. Studying atmosphere can vary from open and vivid dealings between students and teachers and other personnel to distant, minimal, and formal relationships between the above-mentioned groups. Indeed, the meaning of informal student-faculty contacts and learning outcomes has been noted already three decades ago (see Pascarella, 1980). Finding studying meaningful has been noted to have a positive relationship with students' perceptions of academic atmosphere at the unit (see e.g., Kezar & Kinzie, 2006; Mayya & Roff, 2004; Pimparyon et al., 2000).

Ultimately, the completion of an academic degree is students' responsibility because even the most skillful teacher cannot learn on students' behalf. Yet, teaching skills, teachers' abilities to be in an appreciating interaction with students and to guide students make a salient impetus – or pitfall – in university education. This was noted by the university leaders in this study, too. Today's good university teachers bear the responsibility both for the discipline they represent and are concerned of their students and their success.

The conditions of the teacher training department covers the outward conditions including studying facilities and their location, the number of teachers in proportion to the number of students, social, economic, and health services, library services (the availability of books, opening times), ICT facilities and their sufficiency, the length of studying days, the accumulation of lectures versus even division by weekdays and time. It is a known fact (e.g., Greenwald, Hedges, & Laine, 1996) that a broad range of resources are positively related to student outcome (see also Atjonen, 2007). Indeed, this resembles the third perspective brought out by university leaders in this study. As the funding of universities strongly depends on the number of graduates, research programs, publications, in other words measurable outcomes, the pressures of productivity is high. The university leaders in this study considered these outer factors hindering the realization of caring leadership but considered it as the basic principle for making decisions that would benefit the students the most and allocating money for purposes that would ensure them with as high-quality education as possible.

### **Conclusion:**

In modern world, student groups are more heterogeneous than ever (e.g., San Antonio, 2008; Zhao, Kuh, & Carini, 2008) and thus their study processes should be paid attention more than ever. Consequently, university educators' work is demanding and important, and requires resources, time, and concentration. Caring leadership in higher education can enhance the students' study processes by highlighting some fundamental principles of higher education. Universities are liable for students meaning that the promises given in the universities application guides must be fulfilled so that every student feels welcome and becomes convinced that he or she made a good choice when applying for education. On the other hand, the most far-reaching and rewarding part of teaching and mentoring is to make students interested and seize the questions of their discipline, and finally become enthusiastic about working for the continuity and development of science (Schunk & Pajares, 2005). Finally, quality guidance and teaching make a central, valuable part of the whole sphere of academic work. As manifested in the university leaders' perceptions, caring for students is the lifeline of the quality and profitability of higher education.

Daniel Goleman (2006) has wisely said: "Leading a school to create a warmer and more connected school culture need not mean sacrificing academic rigor. Instead, socially intelligent leaders help schools better fulfill their main mission: teaching" (p. 81). This concerns university-level education too. And, based on the results of this study, we would like to continue Goleman's thought by adding that by using the leadership position for fulfilling the teaching mission, caring leaders also help students and enhance their study processes.

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## PROMOTING LEARNER AUTONOMY IN FOREIGN LANGUAGE LEARNING BY USING STUDENT JOURNALS

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### Abstract:

This paper reports on a study conducted at SEEU (South East European University) in Republic of Macedonia promoting learner autonomy in language learning by using student writing in an EFL course. To encourage my students towards independent learning, improve their writing skills and extend their English language proficiency, I have introduced journal writing into my syllabus years ago. The study was conducted across one semester, in the year 2012. Acknowledging convenience sampling, the 31 subjects who participated in this study were students from the English Department of the Languages Cultures and Communication Faculty. Journals were collected at regular intervals and subjected to a modified content analysis (Fraenkel & Wallen, 2003) to identify the main themes related to learner autonomy and student experiences. Semi-structured interviews with volunteers were undertaken to substantiate the essential findings of the content analysis.

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**Key Words:** Autonomy, EFL, journals, reflections, students

### Introduction:

In the *Dictionary of Language Teaching & Applied Linguistics*, autonomy in learning is defined as “the principle that learners should be encouraged to assume a maximum amount of responsibility for what they learn and how they learn it” (p.297); Furthermore, journal writing, according to Harmer (2008), “makes us reflect on what has happened, what we think or how we feel” (p.126). Nevertheless, autonomy in language learning is a relatively new concept of language learning in the western Balkans, therefore, it is sometimes difficult to engage learners in autonomous learning since it has not been part of their culture and their educational background.

To encourage my students towards independent learning, improve their writing skills and extend their English language proficiency, I have introduced journal writing into my syllabus. Journals have shown to be very useful in EFL teaching and learning since they not only are very motivating for students Kamberi (2010), but contribute to their language proficiency given that students revise the learning material covered in the classes and at the same time add to their learning. This paper, reports on a comparative study on journals, which reflected classroom learning experience, compared to topics students had to research themselves, in an autonomous way by writing papers related to aspects of various contemporary topics, such as GM food, Earth and Space, and Gender Issues and reflect on their learning experience outside the classroom. Additionally, they had to write research papers on the research topics. As Jordan (1997) has observed, journals help teachers to better understand their students by offering insights into the learner’s experience; they give us “a sort of introspection...” (p.34), which on the other hand, provides direct and immediate feedback for teaching improvement. These journals have offered an insight on how students have approached the project, their research strategies and the success of the independent research and autonomous learning.

### Main Text:

The term autonomy in language learning has been a topic of interest for many researchers in the past decades (Little, 1991; Benson 2001; Gardner, 2011; Dişlen, 2011. Swarbrick, 1994) suggests various ways of applying autonomous learning by stating that using role-plays, drama and creative writing contribute to autonomous learning and student motivation.

Arikan & Bakla (2011) have analyzed asynchronous learner autonomy in online blogs with 17 Turkish adult learners. The outcome of the study showed that students were very motivated and they were able to choose various reading texts from the internet. However, the participants were beginner level students and they encountered the difficulty with the new vocabulary the various texts contained. The study has shown that student were able to apply various strategies that fostered learner autonomy.

Dişlen (2011), has investigated freshman learner beliefs about autonomous learning in Turkey. The study has shown that student were partially aware of what autonomous learning is but needed more training on how to apply it since their past learning experience has been teacher centered.

Benson (2011) gives many definitions of autonomy and tries to compare various definitions of autonomy. He argues:

In general, we may be able to observe whether learners display a greater degree of control in particular aspects of their learning. For example, we may be able to say that they are more able to self-assess their learning, to reflect on the value of their learning activities, or to design their own learning programs (p.51).

In a way or another Benson's argument applies to the context of this study since students were able to display a greater degree of control over their learning, and were able to reflect on the value of their activities.

### **3. The foundation of this paper**

In an effort to help my students learn more easily and improve their language skill, in reading, writing, listening and speaking, but also to encourage critical thinking and problem –solving, I have introduced journal writing into my syllabus years ago (see Kamberi, 2010).

This paper confirms the significance of student writing as a valuable tool for tertiary students learning foreign languages and promoting autonomous language learning through using journal writing. Furthermore, the study offers empirical evidence for the importance of promoting learner autonomy in foreign-language learning. From the multi-cultural perspective of the Macedonian undergraduate education, it provides practical evidence for the value of reflective free-writing in language and critical thinking development, a strategy for developing learner autonomy for teachers, researchers, policymakers and curriculum developers.

### **4. Research questions**

Based on my professional teaching experience and informed by the emerging findings in the literature review above, the research questions addressed in this paper include:

- Are students able to develop autonomous learning strategies?
- What do students' journals show about the students' autonomous language learning experience?
- What is the students' experience related to autonomous learning?
- Are there any evident differences between the two approaches of journal writing?

### **5. The study**

The study was conducted across one semester, in the year 2012. Acknowledging convenience sampling, the 31 subjects who participated in this study were students attending my English Language Skills course in the English Department of the Languages Cultures and Communication Faculty (n=31).

#### **5.1 Subjects**

Acknowledging convenience sampling, the participants who participated in this study ranged in age from 19 - 21 years old. Females constituted 70% of the sample group with the reaming 30% being male.

## 5.2 Instrumentation

Journals were collected at regular intervals and subjected to a modified content analysis (Fraenkel & Wallen, 2003), to identify themes and topics. Semi-structured interviews with volunteer students were undertaken to substantiate the essential findings of the content analysis. More precisely, thematic content analysis based on Neundorf (2002) have been made in order to "...measure psychological characteristics of individuals ..." (p.192).

## 5.3 Data Collection and analysis

Journals were written on a regular basis and students were expected to write either on different topics covered in the class or, about a topic of their preference they had to research themselves but agreed in the classroom. In this case, journals were compared to those students had to research by their own and those that were a reflection to the classroom experience. They were advised to search online, from books or interviews. Additionally, they were given two weeks to finish the projects they researched independently compared to those related to the classroom which were assigned for the following class.

## 5.4 Research limitations

Content analysis of a significant sample on a regular basis demands a considerable effort from the analyst. It is unlikely that a single researcher could maintain this research load with a larger sample. As a consequence, it can be argued, one of the limitations of this study is its relatively small sample size. A second limitation derives from the convenience sampling approach with; in this case, its gender imbalance. In addition, as Paterson (1995) states, "students may write what the teacher wants them to write".

## 5.5 Results

Applying a modified content analysis as suggested by Fraenkel & Wallen (2003), findings from the study identified a range of positive and negative effects deriving from student journals and interview responses in response to learner autonomy which will be explained in detail below.

From the total sample (n=31), 21 students responded on the first research related to *food and drink*; 13 students responded to the *space and earth* topic; and 15 to educational technology (See table 1 below).

Table 1. Responses to journal writing

Topic	Responses
Food and Drink	21
Space and Earth	13
Educational Technology	15
Classroom reflection journals	27

While recognizing that the sample was too small to generate meaningful quantitative conclusions, the analysis of student journals has shown that students, who completed the assignment, were able to research individually and use a number of phrases related to respective selected topic. The majority of the students were able to research online, interview peers outside the classroom, and find various other sources in order to complete their assignments. As one student claimed "Having completed the paper, I can better argue on the topic". Another one stated, "When you use those facts, the paper changes completely". "we get arguments from different perspectives". Another student was shocked by the news she found related to the endangered earth. She states 'I had not known how big companies destroy the earth in order to make their own profit'. Many found interviewing students outside the classroom very challenging since they could talk to students whose major was other than English.

Furthermore, apart from their general content knowledge related to various topics, they claimed to have learned a lot of new vocabulary and phrases related to the topics but in English

language. Phrases like, global warming, genetically modified food, skin disease, the ozone hole, naturally grown food, organic and non organic food, were used by the majority of the respondents.

Another interesting result of the study is the difference between the quantities of the writing. Students were able to write more on the topics they were researching themselves than those covered in the classroom; however, they tend to plagiarize parts of their papers they had to research online which is impossible for those reflection-classroom learning experience. However, even though no discourse analysis has been used to analyze the data, it can be argued that the quality of both types of papers was the same.

Further, from student interviews it can be derived that students were not sure which strategy has been better because as they claimed, both approaches had their positive and negative sides. The classroom reflection had been easier because 'you have books and the notes you can refer to'. On the other hand, 'the independent searching', as it was called, had been very time consuming and required more sources. Some students that did not respond to the *independent* assignment and found it extremely difficult to do the assignment since they 'did not understand the vocabulary from the internet'. Others claimed they had had not enough time to finish it.

### **Conclusion:**

The results of the study have shown that writing is an important tool in learning and teaching a foreign language. From the various analysis of the strategies used in the study, from a learner's perspective, there were mixed perceptions regarding the two types of journal writing; classroom reflection, or autonomous research on various topics.

Furthermore, the research has shown that students who responded to the assignment, found it very motivating, but others who did not, time consuming. However, the analysis of student writings and the interviews have shown that student journal writing drastically dropped when they were asked to search on their own. For example, when students were assigned to write or reflect on topics related to the classes or their own experiences, around 90% of the students responded to the writing; however, when asked to research on a topic of their own, only 48% responded to the assignment. This leads to the tentative conclusion that students need to be more motivated and trained in developing learner autonomy, as Benson states 'students need to be trained in order to become autonomous learners.

However, several major explanations for these results deserve further consideration. For example, how much students have learnt and improved their writing is still unclear and difficult to measure. Even though students claim that they have learned a lot and the journals are the proof, further discourse analysis of case studies over a longer period of time is suggested. Similarly, there is some evidence that the way students believe they learn best, affects the way they approach learning tasks. Again, a further study of this observation seems likely to yield useful information for the most effective strategies in promoting learner autonomy in language learning. It is suggested that promoting learner autonomy is a process and some stages need to be followed: Raising awareness, Begin changing attitudes, Transferring roles (Sharle&Szabo, 2000). They further point out that training students and teachers is another important factor in developing autonomy in language learning.

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## CONTEMPORARY CHALLENGES THAT HINDER BUILDING KNOWLEDGE SOCIETY IN JORDAN FROM THE EDUCATIONAL EXPERTS PERSPECTIVE

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### Abstract :

This study aimed at revealing the contemporary challenges that hinder building knowledge society in Jordan from the perspective of the educational experts , through answering the following two questions:

1. What are the contemporary challenges that hinder building knowledge society in Jordan from the prospective of the educational experts?
2. Are the contemporary challenges which hinder building knowledge society differ according to the difference of the place of work, job, scientific qualification and educational expertise?

To achieve the objective of the study, a questionnaire, the tool of the study, was developed and it consisted of 30 items representing the challenges that prevent building knowledge society in different fields. After achieving the tool's reliability and validity, it was applied on a sample of a study consisted of (235) educational expert. The results of the study revealed that the experts' evaluation of these challenges was high. the results also ensured that there were significant differences in the challenges that hinder building society of knowledge regarding the variables; place of work and educational expertise at the level of significance ( $\alpha=0.05$ ) and the differences were respectively in favor of Al-Hussein Bin Talal University and in favor of whose experiences is less than five years. And there were no significant effect to the job and the scientific qualification variables. Based on these results, the study recommended the necessity of having strategic changes in the academic education's system in Jordan which are compatible with the requirements of building knowledge society .

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**Key Words:** Educational experts, challenges, knowledge society

### Introduction & theoretical background

Knowledge is considered a major pillar that supports nations' development and it is one of the sources of strength in the society if not the real one that motivates the intellectual and social movement. So this century is called the century of knowledge where knowledge has been considered as an important economic source to the national income and as a pillar of progress in different fields of live. And if any century has its own fortune, the fortune of the current century is knowledge. Therefore, knowledge has become the basic for human development because it expands the humans' options, develops their abilities and their styles of life. So it is a secure road for building the societies in the twenty first century.

The same idea was confirmed by *Devlin* (2001) who said that the current knowledge society consisted of human intelligence, the skill and the leadership. And this indicates that the coming period of time has a special significance and so it is noted that this century is the century of knowledge, technology progress and information and communications revolution.

It is difficult to identify the concept of knowledge because it is a complicated and an argumentative process and it has its own levels and degrees of development and includes the human contribution through the experience and the practice which are naturally connected with the shape of the economic and social pattern of development (Sorani,2004). Knowledge is represented by the

ideas, experiences, the skills, and the lessons which gave the work its value and consideration and developed the individual's performance. But, nowadays, knowledge importance and its degree of influence in the economic, social, cultural and educational life is seen as a new topic because of the scientific and technology revolution which the world faces today. The last quarter of the twenty century witnessed the greatest change in humanity, which is called the third transformation or the industrial revolution which came after the agricultural and industrial revolution and it is the revolution of information and communications that help the human to impose their control over the nature which makes the element of knowledge development one of the most effective elements in life. Knowledge has been changed rapidly because it is considered the pillar of the integrated human development and its society (Robai, 2008).

Davenport and Prusak (1998) defined knowledge as the mixture of experiences that formed the opinions, values and the implicit information which presented a frame to participate with experience and new information after it had been reinforced in minds. When the individual stores the information in his mind and gets benefits of it, we consider this information "knowledge". Knowledge is a fluid mix of framed experience, contextual information, values and experts' insight that provides a framework for evaluating and incorporating new experiences and information. And this information becomes knowledge when the individual is able to use it instantly and this definition agrees with (Nonak and Takeuchi's definition (1995) that knowledge is an interaction between the implicit knowledge with what it includes as experiences, ideas and skills which the individuals have and the explicit knowledge which is resulted from the interaction with the external environment.

While Ali (1990) believes that knowledge is the outcome of the hidden mixture between the information, the experience, perceptions and the ability of giving judgment. When we receive the information and store it in our minds, we applied deduction techniques on it to extract the hidden Implicit knowledge and used the Induction techniques to generate new knowledge. So the difference between the information and knowledge is much more than the difference between information and data; information is one of the means used to acquire knowledge. Information is classified into two types; explicit knowledge and implicit knowledge. explicit knowledge is the common knowledge between the people and which its resources are known and easily be reached to, for example, the books, and different documents which are available in different means which are provided by technologies of communications and information. Dealing with this type of information happens through update, exchange and use different means and according the users' desires and wishes. Whereas, the implicit information, is that information which is stored in minds and it is not represented by any way, so it is not available to others but it is imprisoned in the minds of its owners and it may die before having the opportunity to show up. And its owners may have the chance or the incentives that force them to show it to others in different degrees of clarity and integration (Polanyi, 1997)

### **Knowledge Society:**

Talking about society of knowledge should be proceeded by presenting historical events which the world faced so as to understand the nature of knowledge societies and the future of their citizens to act their roles effectively in the society. One of the societies which humanity knew is the society of hunting where the human spent his life fighting to live and living to fight. Then the human knew the industrial society where he spent his life living to eat and eating to live. Later, the human works to live and lives to work. And this means that the life of the tribesman started and finished by war and fighting while the life in the industrial society started and finished at work but it seems that the individual's life in the knowledge society moves towards being controlled by logic and learning (Rabei, 2000).

Most countries try to access into the society of knowledge through planning and readiness for the importance of knowledge that increases its strength and position among the countries. In these societies knowledge is considered as the first priority and information flows smoothly without any obstacles, so getting to the required knowledge will be easy and available to everyone without any high costs and without any discrimination. Generalizing knowledge everywhere to be the distinguished character of the society in terms of its production, application and selling. Thus

knowledge supports the national economy and be part of it Therefore, knowledge becomes a standard to measure the countries' progress and a field for competition in between (Malkawi,2008).

It was in 1969, when the concept of knowledge society, for the first time, was used by Peter Droker, and became a common concept in the 1990s. The appearance of this concept synchronized with the appearance of the concept "Educated Societies" which aim to provide learning for every one for lifelong. And this is not a coincidence, it seems important to learn before doing anything. And in 1972, UNESCO presented this new concept of education by its report entitled by: "learn to be, science of education today and tomorrow". Education is no longer for the elite or linked with specific age but it extends for the whole group for lifelong (UNESCO,2005).

And mainly, the concept of knowledge society is used to refer to an advanced stage of development stages or to the information society of the second generation. And if the information society aims to provide the necessary information and technology, the knowledge society aims to create knowledge and culture based on sharing of knowledge and have new applications work basically via internet. the objective of knowledge society is to meet the society needs, make a fortune and develop life's quality continuously (Rincon, 2005). And the report of the Scientific Research Council (2005) ensured the necessity to distinguish between the society based on collecting information and investigate its resources to have more and use it through copying and memorization as a mean for education and research and between knowledge society which depends on learning and analyzing, criticizing and realizing the meaning of the information in order to create and deduct.

The modern society is the knowledge society and the individual is its core and the leadership is in the hands of *knowledge workers (Toffler), who own the new mean of production which is knowledge. After serving the capital, the capital became in their service.*

Knowledge is used to develop the economy, increase the production and the productivity. Knowledge includes data, information, shapes, figures, images, situations, beliefs, values, and means for delivering knowledge. And this knowledge has no value if it does not become a part of the individual's life (Hashemi & Ghazawi, 2007)

Trying to define knowledge society, Robai` (2008) says: "it is the society which depends basically on publishing, producing and employing knowledge effectively and efficiently in all the activities of the society and fields of life. And Arab Human Development Report (2003) gives a description of the concept of knowledge society that it is the society which uses knowledge in a proper way to do his work and take the appropriate decisions

Many elements together participated in the appearance of knowledge society. The first one: globalization resulting from the development of technology of communication and information helps in having a world without geographical borders as a united community that belongs to a free human community. And the second one is the international technology elements. It is difficult to isolate theory from its application in the era of "engagement" between science and technology so every day we see science and technology provide us with great developments that not only affect human life but they also control it ( Ibrahim,2005). And the human interaction and communication via electronic communication means, the Satellites and the use of computer make the individual able to obtain the knowledge and access into its world regardless of his location and this facilitates the communication process between the knowledge workers. Third one is the rapid change in knowledge. Information according to statistics, which were published by the American University AIT and *Massachusetts Institute* of Technology, is doubled during a period lasted 18 months but this period, as these statistics revealed, will get less at the end of the first decade of the current century to reach a round two or three weeks.( The Arab Knowledge Report ,2009).

The old meaning of Knowledge has completely changed; knowledge before the era of information states that knowledge equals power so one should have this power. But nowadays and in light of the rapid change in knowledge and technology, no one can own the knowledge. In fact, if one does, he will find what he owns today, it would be old tomorrow and the try to imprison knowledge will stop the flow of information that provides life and which allow a system to organize and renew itself. The new concept of knowledge states that knowledge equals power so one should share it with others and so it will be doubled and this is the status of the new economy of the new knowledge society(Robai`,2008)

Knowledge society has different and interrelated dimensions as the economic dimension. The information in knowledge society is the product and it is the main resource of the added value and it is the only way to find jobs and rationalizing the economy. And this means that the society which produces knowledge and uses it in different activities is able to compete and impose its self strongly. And because knowledge society means the spread of technology, so technology is considered as one of the major dimensions of knowledge society. So paying attention to the Media and trying to adapt them according to every society's objectives circumstances is a need. The knowledge society has asocial dimension; the society has to provide the means and the information; quantity and quality, to update information, to develop the individual's speed to get to the digital human rank that belongs to knowledge workers who work on filling the gap between mental work and manual one because there is no effectiveness at work without knowledge consisted of specialization and ability to read the screens' symbols. Based on this, the concept of knowledge workers. And society knowledge has a cultural dimension because society knowledge is not limited to produce the information and use it but it needs a culture evaluate and respect who produces the information and use it in the right way and all of this needs to have a cultural, social and political environment that believes in knowledge and its role in the society daily life ( Najm,2004).

### **Contemporary Challenges of building Knowledge Society**

Knowledge is a need to the individuals, and this need remains the core of the countries' *destiny* because it meets the other needs and its Stop-motion means the life of this country's economy will stop and there will be a shortage in its other basic needs therefore this country will be a servant to who owns knowledge. Knowledge is power and science with its applications are the weapon of this power.

The circle of knowledge in the society passes by three stages: receiving knowledge, understanding it and employing it in solving the society's problems and in developing its people and resources. And in many times, effort in Jordan stopped at the stage of receiving knowledge for political, economic, organizational and educational reasons, so the information and the problems' solutions remain coming from their traditional resources and as a result of this, the authority will control and stop all the efforts that try to generate new knowledge (Madkor,2003).

The Jordanian academic education has achieved a lot and its efforts affect the development process in Jordan and in other Arab and International countries where many qualified Jordanian emigrated to. The demand for the educated and the skilled workers in the light of the technological and scientific progress is much more higher than the demand for others who do not have similar skills. And according the quantitative level, the number of the public Jordanian universities reached 10 and the private ones 20, and this expansion in quantity caused an expansion in the academic programs and the specializations and this led to an increase in the number of the students who enrolled of these programs at bachelor and at higher studies levels. Although of this quantitative expansion of the Jordanian universities and the number of graduate students which they provide the local market and the Arab countries with, education in Jordan suffers from the deterioration of the quality of the available education where education loses its development and humanitarian objectives of improving life quality and developing human capabilities (Ali, 2010).

There are many elements affect determining the education quality as education policies, teachers, methods and curricula of teaching, academic staff member and scientific research. The book occupies the forefront in this field. There is a low percent of academic books in education and psychology in Arabic with good level and provide interrelated and scientific knowledge while it is difficult to say that the highest percentage of books provide scientific knowledge because generalizations dominate their content and the references which are available are free of the theories and their approaches so the students account of achievement is free of cognitive knowledge in addition to the old scientific content presented in the books which do not keep pace with the developments. And the result is that our students consume old information presented in a way that does not construct cognitive mental systems.

And the school curricula enhance obedience and do not encourage critical thinking, the curricula content does not motivate the students to criticize but it kills their creativity and the independency. It seems that the curricula are a reflection to a concept which consider education as an

artificial production where curricula function as templates to keep the generation minds in (Shareif, 1999). And the student looks at the curricula as a pool of information which should be consumed for the sake of having an academic certificate and at the moment he got that certificate, the moment the information loses its importance and because of this the Jordanian youth do not read (Yosifi, 2002)

Despite of the variety of teaching methods in the academic education as using computers and electronic learning but they are used to present information rather than developing it and educating the students' mental skills (Suliman, 2000). And the traditional method which depends on memorization and transferring information is still used in the academic education. And the issue became more serious when the academic teacher ordered his students to commit to every word he says and this means that knowledge does not move forward (Hijazi, 2001).

Due to the importance of the academic staff in constructing knowledge, there should be a reconsideration of the standards of the academic staff's selection, promotion and performance evaluation that guarantee his ability to do what is more than knowledge. And concerning scientific research, Arab Human Development Report (2003) believes it suffers from shortage of production and application, weakness in basic areas, absence of institutional support in addition to the scientific researches that have no relation with reality. Economically, the great changes in the international economic environment represented by the international knowledge in the economic globalization that dominated the whole world through intercontinental companies which monopolize economic knowledge and distribute it to achieve its goals. And these companies became the dominator in all the areas of the international economy by possessing knowledge and money which was accompanied by a weakness in the exports according to the national production and the international exports. And the shortage of life resources hinder the agricultural and industrial growth causing lack of self-efficiency of food which is considered as a national security case (Yasin, 2002).

Dependency is considered one of the knowledge challenges and it means that kind of relation which obliges some cultures to depend totally on others' cultures to produce its own culture and this may due to the superiority of these other cultures or the lack of self-confidence of the weak culture and its incapability to produce values, ideas, and behavioural patterns which the societies need. Dependency is represented by substituting values, habits and behavioural patterns in the place of the prevailing values in these societies. The Jordanian society faces a crisis in education and in culture because of dependency, it is incapable to melt in the civilization of the current century because it dreams of having science and technology achievement far away from the value system which allowed developing them. The Jordanian society, currently, is incapable to present the substitute because it refuses the logic of modern century and hopes to go back to past (Mostafa, 1998).

And the Arab societies including the Jordanian lacks the scientific culture that helps to get rid of the social negatives which we suffered from a lot and still as dependency, passivity and myths .so the scientific culture is as one of the basics of education because it enable the individual to deal properly with all the variables that surrounded him. It is necessary to publish this type of culture among the people so as to supply them with scientific culture's basics which enable them to participate efficiently in developing their societies; technology and scientifically, in facing the problems, making proper decisions, analyzing life's phenomena, predicting the future, and being able to shape their children's minds scientifically. Education is a tool used to publish the scientific culture in the modern Jordanian society (Bakri, 2006).

Establishing knowledge society is not only done by transferring technology and consuming it or by accepting reality or pricing knowledge but creativity and production engagement happens by having a comprehensive vision that does not forget that products, knowledge tools and techniques hide values and make others. And the development we seek requires much more knowledge and awareness and the Jordanian society has to do two things at the same time; diagnostic its problems and learn from others' achievements. These two things need much courage and strength. And this motivates the researcher to conduct this study to identify the challenges that hinder constructing knowledge society in Jordan.

**The problem of the study and its questions:**

The problem of the study is represented by identifying the most important challenges that hinder building society of knowledge in Jordan , and to achieve this, the study tries to answer the following two questions :

1. What are the contemporary challenges that hinder building knowledge society in Jordan from the educational experts' perspective ?
2. Do the contemporary challenges that hinder building knowledge society in Jordan vary regarding to job location, job title, scientific qualification and the educational experiences?

**Significance of the problem:**

The significance of this study is based on the topic it discussed which is revealing the challenges that hinder building the society of knowledge in Jordan where the world witnesses rapid and sequenced changes. The change in the world of knowledge imposed many challenges which are not easy to be controlled and faced unless there is a good preparation which develops the society. Because there are few local studies discussed this topic, it is hoped that Ministry of Education ,Higher education and the scientific research, the researchers in the field of knowledge and technology, designers of curriculum , educational decision-makers and those who responsible for education planning to get benefit of the results of this study

**Terms of the study:**

**Challenges** : they are every qualitative and quantitative changes which imposed specific requirements that exceed the society capabilities. And these changes happened as a result of external and internal elements and the society has to follow some procedures to face such change.

**Knowledge**: it is the awareness ,understanding facts and acquiring information through the experiment. And knowledge is asset of meanings, beliefs, judgments, concepts and intellectual perceptions which the individual has as a result of repeated tries to understand the phenomena and the what surrounds him.

**Society of knowledge** : it is the society where knowledge plays a major role in shaping and constructing the society through having , spreading, publishing, producing , and employing the knowledge in the social and cultural context.

**Educational experts**: faculty members who are experts and specialists in the educational colleges in six Jordanian public universities and the educational managers in the Ministry of Higher Education and heads of departments that have relations with the educational process in Ministry of Higher Education and Scientific Research

**Limitations of the study:**

1. This study is limited to the staff members who work at the colleges of educational sciences at six public Jordanian universities: University of Jordan, Hashemite University, Yarmouk University ,Al-Bayt University, Mu`ta University and University of Hussein Bin Talal. These universities and the educational experts were chosen purposefully.
2. This study was conducted in the second semester for the academic year 2012/2013.

**Previous Studies:**

The study of Khanfar (2012) aimed to know the cultural and social dimensions which are necessary to acquire the knowledge and produce it, and to suggest cultural and social dimensions needed to acquire knowledge and produce it in the Jordanian academic education. The results of the study showed that the degree of acquiring and producing knowledge and applying the cultural dimensions in the colleges of educational sciences was moderate while the degree of applying the social dimensions was high. And there were no significance for the variables of the university and the experience.

Abu Nadi's study ( 2009) aimed at presenting a number of proposed rules to manage knowledge in the Jordanian Universities from the academic staff's perspective by using a

questionnaire included all the fields of knowledge .the study concluded that there was not any kind of practice to any of knowledge management's rules in the Jordanian universities and there was significant effect to the variables of university and experience .

Badawi (2009) carried out a study aimed to analyse the social dimensions of acquiring and producing knowledge in the Egyptian universities through analysing the academic theses and curricula. The results ensured that there was a defect in the structure of the mental and scientific knowledge related to the system of education which is based on drilling and memorization resulting a defect in forming the students' scientific capital in the Egyptian universities followed by scarcity in the scientific production in the social science.

And the study of Hays(2009) tried to monitor the determinants of acquiring and producing knowledge of the students of higher studies in the university of Sultan Qaboos and to identify the most important and effective variables in it. The results revealed variety in the resources of acquiring knowledge and obtaining information as Internet. The most important challenge was represented by the students' weakness in English language .

The study of Chennamanenni (2006) which was conducted in University of Texas, aimed at investigating the determinants of knowledge, sharing behaviours: developing and testing an integrated theoretical model. The result revealed a support and acceptance to the developed model and the results also showed that there was a strong correlation between the empowerment elements in using technology positively with the high levels of knowledge ,sharing behaviors.

While the study of Tee (2005) aimed to develop more understanding to the circumstances and operations which help in enhancing knowledge sharing in the environments of distance learning in USA. And the results of the study ensured that the school program via internet encourages the students to share, build and use knowledge so the students acquired new and deep visions and understanding that suits the new acquired knowledge .

The study of Faori (2005) aimed to identify the methods of acquiring knowledge, the indications of knowledge production and to investigate the relation between the patterns of family rearing and between the methods of acquiring and producing knowledge of the higher studies' students in University of Jordan. The results concluded that the most common method of family rearing was the pattern of the dictatorship and the most common methods used in acquiring knowledge, by the sample of the study, was the experience and the level of having standards of knowledge production in all the academic theses was low.

The study of Politis(2003) aimed to investigate the effect of the will and confidence strength of the personal relations on the skills of acquiring knowledge in UK. The results of the study revealed that the positive relations have positive impact on knowledge acquisition and the leaders and the experts have positive role in encouraging acquiring specific behavioural skills which is considered as a basic for knowledge acquisition. The leader inspired and motivates the organizational learning.

And the study of Roland(2003) aimed at revealing the relation between acquiring knowledge , sharing information and the electronic knowledge. The results showed that the increase in the use of Net systems during the process of acquiring knowledge created the concept of electronic knowledge which supports economic of knowledge and encourages dealing with knowledge and publishing it. And the study ensured the necessity of having academic cooperation during supporting, publishing and distributing knowledge and information.

### **Comment on the Previous Studies:**

The objectives of the previous studies varied but mainly they discussed the dimensions of producing knowledge and investigating the determinants of producing and sharing knowledge. And the environments of the studies varied; some were conducted in Arab countries as Jordan ,Egypt and Oman and others in foreign countries as USA and UK. And this study gets benefits of the previous study in choosing the theoretical frame and in developing the tool of the study. This study agreed with the previous studies in addressing the challenges that hinder building society of knowledge in Jordan and in selecting the questionnaire as a tool of the study. But this study differed from other studies in selecting the population of the study which is the educational experts. And it also differed in developing the tool of the study which represented different challenges and focused on the educational challenges and in selecting the variables of the study.

**Method and procedures :**

In includes a description of the study's approach , its population, the tool of the study and its reliability and validity, and it also includes a description of the study's procedures and the statistical methods.

**Approach of the study :**

The study adopted the descriptive analytical approach to achieve the objectives of the study.

**The population of the study and its sample:**

The population of the study consisted of the educational experts who are academic staff members in the educational colleges in six public universities represented three Jordanian regions; University of Jordan and Hashemite University represented the Middle region, Albayt University and Yarmouk University represented the North region and the Mu`ta University and University of Hussein bin Talal represented the South region. The population of the study consisted also of the higher educational leaders in Ministry of Education and Ministry of Higher Education and scientific Research. Table (1) illustrates this:

**Table (1) Distribution of the sample of the study regarding the study's variables**

Variable	Categories	Percent	Freq .
Place of work	University of Jordan	%23	54
	Hashemite university	%8.5	20
	Yarmouk university	%26	61
	Al-Bayt University	%8.9	21
	University of Hussein Bin Talal	%5.1	12
	Mu`ta University	%14.9	35
	Ministry of higher education and scientific research	%13.6	32
Job	Teaching	%89	209
	Administration	%8.9	21
	Technician	%2.1	5
Scientific qualification	Bachelor	%7.2	17
	Master	%14.9	35
	Doctorate	%77.9	183
Educational experiences	Less than 5 years	%31.1	73
	From 5-10 years	%41.7	98
	More than 10 years	%27.2	64
Total		100%	235

**Tool of the study and its reliability and validity:**

A questionnaire, the tool of the study, was developed and its final copy consisted of (30) items. The items of the questionnaire measured the most common challenges that hinder building the society of knowledge in Jordan and each item was given a sequenced weight according to Lickert's fifth scale; the means from (5 to 4.2) are very high, from (4.1 to 3.4) are high, from (3.3 to 2.6) are moderate, from (2.5 to 1.8) are low and less than (1.8 to 1) are very low. To ensure the face validity and the content validity of the questionnaire, it was arbitrated by a group of qualified and specialized arbitrators in the field of this study. And after their notes had been taken into account, some changes were done. And regarding the reliability of the questionnaires' items, the researcher used Chronbach alpha for internal consistency and the value of reliability was (0.88).

**Procedures of the study:**

After the number of the academic staff in the educational colleges in the six public Jordanian universities and the number of the educational leaders who still work in the Ministry of Higher Education and Scientific Research for the year 2012-2013 had been determined and chosen, 252 questionnaires, the tool of the study, were prepared and distributed into the sample of the study, and about 17 questionnaires were excluded for their invalidity.

**Statistical Treatment:**

The researcher used the means, standard deviations, ANOVA to reveal the differences according to the variables of the study and Scheffe' Test for Post Hoc *Comparisons*.

**Results and discussion**

Results of the answer of question(1): "What are the contemporary challenges that hinder building society of knowledge in Jordan from the educational experts' perspective?"

**Table (2) Challenges that hinder building society of knowledge in Jordan from the educational experts' perspective**

N	Item	Mean	Std dev	Degree
22	Deterioration of education quality is a challenge hinders constructing knowledge society.	4.50	.62	Very high
6	Weakness of attitudes towards long life learning as a way of thinking	4.49	.59	Very high
10	Weak relation between education and labor market	4.45	.62	Very high
24	Lack of expenses specified to enhance production and publishing knowledge specially in education.	4.19	.82	Very high
2	Bureaucracy's control over scientific research institutions.	4.18	.82	High
11	Spread of knowledge and technology illiteracy.	4.17	.82	High
4	Low level of the scientific culture of the society.	4.13	.82	High
5	The process of acquiring knowledge is limited to the educational institutions.	4.12	.82	High
28	The lack of the necessary infrastructure of communication and communication technology..	4.11	.83	High
27	Weak correlation of the comprehensive development plans with the knowledge production's process	4.11	.83	High
23	Limits of using internet.	4.07	.89	High
19	Educational institutions' methods that depend on domination and memorization.	3.48	.89	High
20	Bad distribution of the national fortune between the categories of the society.	3.47	.88	High
30	Domination of consumption culture in the society.	3.43	.87	High

15	Lack of providing information technology and communications.	3.42	.87	High
29	Rearing family methods represented by control and extra protection.	3.34	.81	Moderate
12	Jordanians' brain drain	3.32	.91	Moderate
16	Unfair distribution of individuals' income.	3.30	.81	Moderate
18	Absence of qualified administration that provides organizational environment, social atmosphere that courage creativity.	3.29	.76	Moderate
14	Delay in activating the role of thee-government.	3.27	.76	Moderate
13	Weak spending on scientific research.	3.20	.73	Moderate
8	Weak of translation is a challenge hinders constructing knowledge society.	3.17	.78	Moderate
21	Shortage of labor is a challenge hinders constructing knowledge society.	3.15	.99	Moderate
26	Inactive culture and following the good previous people.	2.82	.85	Moderate
25	Low level of cooperation between public and private sectors.	2.70	.70	Moderate
9	Difficulties of transformation from pattern of producing the products to pattern of producing knowledge.	2.60	.80	Moderate
7	Security entities' interference in recruitments in the scientific or intellectual positions.	2.51	.37	Low
1	Ignoring the citizen's role and prevent him from taking part in the political life.	1.80	.78	Low
17	No equality between males and females in having knowledge.	1.80	1.02	Low
3	The weak practice of the democratic principles that modern country adopts.	1.77	.77	Very low
The tool as a total		3.42	.75	High

It is illustrated from table (2) that the challenges which hinder building knowledge society in Jordan from the educational experts' perspective ranged (very high to very low) where the means also ranged between (1,77 – 4,50). The most important challenges were in the items (10,6,22) and it is noted that the educational challenges got the highest means. Item (22): "Deterioration of education quality is a challenge hinders constructing knowledge society", obtained the highest mean (4.50) with a very high degree and this may due to the Arab education's failure to keep up with international developments; shape and content. our curricula are far away from scientific and intellectual issues so the outcomes of education do not suit the necessary human development to construct knowledge society in Jordan and our education suffers from the absence of rational thinking and dialogues with the other. It ignores creativity and the spirit of challenging. And the degree of item: "Weakness of attitudes towards long life learning as a way of thinking," was very high with a mean (4.49) and this may attributed to the limited of knowledge acquisition to the educational institutions place and time. And this problem increases in light of the weakness of the attitudes towards long life learning as a way of thinking and learning.

The degree of Item (Weak relation between education and labor market) was very high with a mean ( 4.45) and this may due to the fact that the educational institutions in Jordan still separate between reality and education which mean separation between theoretical side and practical one. There is no connection or relation between education outcomes and the requirements of the labor market. So the educational institutions have to consider education not as a reason to make any progress but to consider it as a part of progress, production, and comprehensive development. Therefore, these items were considered the most challenges that hinder constructing knowledge society in Jordan.

But the least challenges which hinder building the society of knowledge was represented by item (3):"the weak practice of the democratic principles which the modern state adopted", and this may due to the democratic atmosphere which the citizen have in Jordan; he has the freedom in participating in all of the activities of knowledge that produce knowledge.

**Results of question (2):** “ Do the contemporary challenges that hinder building society of knowledge in Jordan vary according to the variables of the study; place of work, job, scientific qualification and the educational experiences ?

The appropriate statistical treatment was taken to each variable to examine its effect and to reveal the differences attitudes . The following tables ( 3,4,5) illustrates this :

**First : place of work variable:**

To know if there were significant differences at the level of significance ( $\alpha=0.05$ ) in the means of the contemporary challenges that hinder building knowledge society in Jordan attributed to the place of work variable ,One Way ANOVA test was used and table (3) illustrates this:

**Table (3) Results of One-Way ANOVA of the means of the challenges that hinder building society of knowledge in Jordan attributed to the place of work variable**

Source of variance	Total of sec.	D .freedom	Means of seq.	F	Sig.
Between groups	3376.21	6	562.70	9.27	.000
among groups	13831.08	228	60.66		
Total	17207.29	234			

Table (3) Showed That There Were Significant Differences At The Level Of Significance ( $\alpha=0.05$ ) According To The Place Of Work Variable; The Value Of F Is (9.27) And To Know The Differences' Attitudes And In Favor To Place Of Work , Scheffe' Test For Post Hoc Comparisons Between The Means Was Used As It Is Illustrated In Table (4).

**Table (4) Results of Scheffe' Test for Post Hoc Comparisons between the means Of the challenges that hinder building the society of knowledge in Jordan according the place of work variable**

Place of work	University of Jordan	Hashemite University	Yarmouk university	university of Hussein Bin Talal	Mu`ta university	Al-Bayt university	Ministry of higher education and scientific research
University of Jordan		7.7407(*)	8.0604(*)	8.9074(*)	7.8122(*)	-1.2831	-4.1470
Hashemite University			.3197	1.1667	.0714	-9.0238(*)	3.5938
Yarmouk university				.8470	-2.482	-9.3435(*)	3.9134
University of Hussein Bin Talal					-1.0952	-	4.7604
Mu`ta university						-9.0952(*)	3.6652
Al-Bayt university							-5.4301
Ministry of higher education and scientific research							

(\*significant at  $\alpha=0.05$ )

Table (4) showed that the differences in the contemporary challenges that hinder building knowledge society in Jordan according the place of work variable is statistically significant at  $\alpha=0.05$  and in favor of University of Hussein bin Talal with a mean (10.19), followed respectively by Yarmouk University with a mean (9.34), Mu'ta University with a mean (9.09), and Hashemite University with a mean (9.02), and all the values were statistically significant. It is clear that the means of the universities were close which indicates the importance of the challenges that hinder building the society of knowledge according the place of work variable from the same sample's perspective in these universities and this may be attributed to the universities' keeping up with the changes and the new developments where universities activate the attitudes towards the knowledge based economy for appreciating the value which human brain produced. And the public Jordanian universities care of linking their programs, curricula, tools and methods with the newest and latest things in the world in a way that serves the needs of the Jordanian society within its financial and physical abilities and to be compatible with what it should be provided by Jordanian academic education of labor to local, Arab and regional markets.

### Second : job variable

To know if there were significant differences at the level of significance ( $\alpha=0.05$ ) in the contemporary challenges that hinder building knowledge society in Jordan attributed to the job variable, One-Way ANOVA was used, and table (5) illustrates this.

**Table (5) Results of One-Way ANOVA of the means of the challenges that hinder building knowledge society in Jordan attributed to the job variable**

Source of variance	Total of seq	d. f	Means of seq.	F	Sig
Between groups	140.68	2	70.34	.95	.38
Among groups	17066.60	232	73.56		
Total	17207.29	234			

Table (5) showed that there were no significant differences at the level of significance ( $\alpha=0.05$ ) attributed to the job variable, and this may be due to the academic and educational institutions' adaptation to an integrated educational strategy that supports the attitudes towards producing and employing knowledge.

### Third : scientific qualification variable:

To know if there were significant differences at the level of significance ( $\alpha=0.05$ ) in the challenges that hinder building society of knowledge in Jordan attributed to the scientific qualification variable, One-Way ANOVA was used, and table (6) illustrates this.

**Table (6) Results of One-Way ANOVA of the means of the challenges that hinder building society of knowledge in Jordan attributed to the scientific qualification variable**

Source of variance	Total of seq	F .d	Means of seq	F	Sig
Between groups	49.31	2	24.65	.33	.71
Among groups	17157.97	232	73.95		
Total	17207.29	234			

Table (6) illustrates that there were no significant differences at the level of significance ( $\alpha=0.05$ ) attributed to the scientific qualification variable, where the majority of the sample regardless their qualifications agreed that knowledge has a high economic value that exceeds the value of the goods and the natural resources.

#### Fourth : educational experiences variable

To know if there were significant differences at the level of significance ( $\alpha=0.05$ ) in the contemporary challenges that hinder building knowledge society in Jordan attributed to the educational experiences variable, One-Way ANOVA was used, and table (7) illustrates this.

**Table (7) Results of One-Way ANOVA of the means of the challenges that hinder building society of knowledge in Jordan attributed to the educational experiences variable**

Source of variance	Total of seq	d. f	Means of seq.	F	Sig.
Between groups	669.769	2	334.884	4.698	.010
Among groups	16537.525	232	71.282		
Total	17207.294	234			

Table (7) illustrates that there were significant differences at the level of significance ( $\alpha=0.05$ ) according to the educational experiences variable, where  $f$  was (.01). And to know the source of these differences, Scheffe' test for post hoc comparisons between the means was used as it is illustrated in table (8).

**Table (8) Results of Scheffe' Test for Post Hoc Comparisons between the means Of the challenges that hinder building the society of knowledge in Jordan according to the educational experiences variable**

More than 10 years	From 5-10 years	Less than 5 years	Educational experience variable
3.20	3.86 (*)	-	Less than 5 years
-.66	-	-	From 5-10 years
-	-	-	More than 10 years

(\*significance at the level  $\alpha=0.05$ )

Table (8) showed that the differences between the challenges that hinder building knowledge society according to the educational experiences at the level of significance ( $\alpha=0.05$ ) were in favor of the years of experience which are less than 5 years and this may be due to the fact that the individuals in this category are more enthusiastic at work and so they feel more of these challenges during their application to what they learned theoretically on the ground.

#### Recommendations :

1. Facing the educational challenges by criticism of the educational system which leads to knowledge society.
2. The necessity to make strategic changes in the higher education system in Jordan that is compatible with the requirements of building knowledge society.
3. The necessity of keeping up with the huge accumulative of knowledge by activating the role of education in keeping up with the latest and newest changes .
4. Conducting further studies that addressed the challenges which hinder building knowledge society which appeared because of the change in knowledge ,how to face them educationally and their relation with other variables.

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## ICT TRENDS IN EDUCATION

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### **Abstract:**

The Information and Communication Technologies (ICT) are more than ever living in our society and there are important parts of the education. Schooling and teaching is changing with this new context. ICT have some characteristics that make them an essential tool in our daily life and, for instance, in our schools. New Technologies have changed the way we communicate and the way we live and work. For this reason ICT in Education is an approach that makes the school and the society closer. The XXI century education should follow these conceptions with the desire to contribute positively to the development of a better society and more critical citizens.

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**Key Words:** ICT, Education, schools, society

### **Introduction:**

The pace of the society in which we live requires more flexible ways of learning and adapted to changes. Formal, non formal, informal and invisible learning are living today in an expanded education and in a virtual space through the network. The Information and Communication Technologies are more than ever living in our society and they are important parts of the education. At Primary and Secondary Education, students start to use them in class, but the reality is that nowadays almost every student goes to school with a wide range of technological skills.

Schooling and teaching is changing with this new context. For example, students and teachers should have technological skills because they use them in their classroom and in their curricula. ICT have some characteristics that make them an essential tool in our daily life and for instance in our schools.

Also, it is very important to know that ICT are not only about computers and the internet, but also about a big amount of different tools such as mobile phone, tablets, etc. New Technologies have changed the way we communicate and the way we live and work. For this reason ICT in Education is an approach that makes the school and the society closer.

In this article we will focus on the role and different kinds of ICT in education and in the main characteristic that nowadays technologies have.

### **ICT at school:**

According to UNESCO (2010), the term ICT is plural, referring to a great many technologies and it is an all encompassing term that includes the full gamut of electronic tools by means of which we gather, record and store information, and by means of which we exchange and distribute information to others.

ICT are composed of many different tools that enable capturing, interpreting, storing and transmitting information in a fast and easy way. In the following figure (UNESCO, 2010), we can observe several options which allow us to better understand the society where we live:

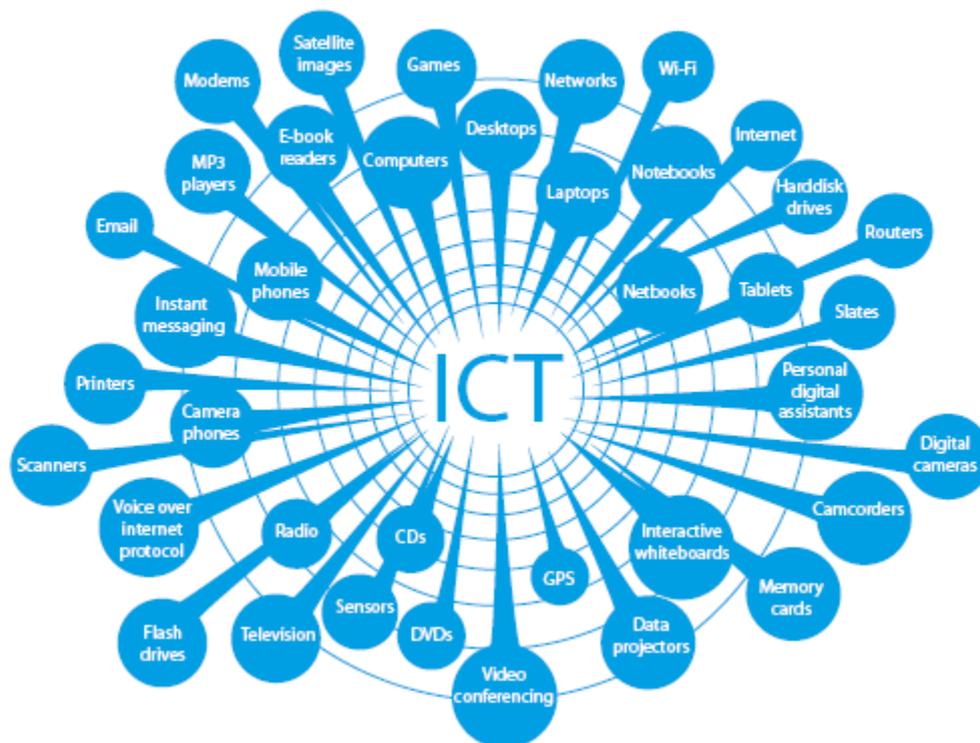


Figure 1. ICT. Font: UNESCO (2010)

This large number of tools makes our life easier and they are very helpful in organizing the big amount of information that we receive each day. We know that we do not use all of them everyday but also we know that students are in continuous contact with them and we cannot ignore it.

For this reason, the changing role of teachers is an essential issue. There is a need to move from a “push educator” to a “pull educator”. The first one fills the heads of their students with content without causing any activity or desire in them in order to deepen the knowledge and the potential of the resources around them. The second one awakes in students the motivation to learn and will help them in the sought of meaningful information that generates knowledge.

A good starting point, according to Anderson and van Weert (2002), is to join with fellow enthusiasts at the school, to meet together informally to talk about ICT issues and share knowledge. This process where two or more teaching colleagues work together to discuss problems, share experiences and provide support for one another with a view to improving their teaching is often called peer coaching.

According to Graham (2006), a good use of online learning stimulates active learning in the classroom, which motivates students to continue learning activities beyond the lecture hall or classroom. Such online learning, then, in combination with sound face-to-face teaching (blended learning) is a powerful approach to learning. Both students and professors can take advantage of these ways of learning and communication.

### **Main ICT’s characteristics:**

Laudon and Laudon (2010) state that the most important drive behind globalization has been the explosion in Information and Communication Technologies (ICT) sectors. For these authors the main ICT’s characteristic are:

- *Mobile Learning*. New advances in hardware and software are making mobile “smart phones” indispensable tools.
- *Cloud computing*. The implications of this trend for education systems are huge; they will make cheaper information appliances available which do not require the processing power or size of the PC.

- *One-to-One computing*. The trend in classrooms around the world is to provide an information appliance to every learner and create learning environments that assume universal access to the technology.
- *Ubiquitous learning*. School systems around the world are developing the ability to provide learning opportunities to students “anytime, anywhere”.
- *Gaming*. The phenomenal success of games with a focus on active participation, built in incentives and interaction suggests that current educational methods are not falling short and that educational games could more effectively attract the interest and attention of learners.
- *Personalized learning*. Education systems are increasingly investigating the use of technology to better understand a student’s knowledge base from prior learning and to tailor teaching to both address learning gaps as well as learning styles.
- *Redefinition of learning spaces*. Schools around the world are re-thinking the most appropriate learning environments to foster collaborative, cross-disciplinary, students centered learning.
- *Teacher-generated open content*. OECD school systems are increasingly empowering teachers and networks of teachers to both identify and create the learning resources that they find most effective in the classroom. Many online texts allow teachers to edit, add to, or otherwise customize material for their own purposes, so that their students receive a tailored copy that exactly suits the style and pace of the course.
- *Smart portfolio assessment*. The collection, management, sorting, and retrieving of data related to learning will help teachers to better understand learning gaps and customize content and pedagogical approaches.
- *Teacher managers/mentors*. The role of the teacher in the classroom is being transformed from that of the font of knowledge to an instructional manager helping to guide students through individualized learning pathways.

### **Conclusion:**

ICT are indispensable to the functioning of modern societies, these same technologies are equally indispensable to learning institutions. Students and professors should address this change in our society as a chance to improve our educational practices in order to achieve an education with quality.

The changing role of teachers, as we saw before, is an essential part of this changing process. Their role should turn in a “guide of learning” better than in a “font of knowledge”. As ICT are incorporated in education the trend of a classroom and textbook based educational system is becoming more and more outdated.

It can clearly be seen that the education system should change to adapt to modern requirements and to incorporate new technologies. By incorporating these technological trends into the educational system a higher quality education can be provided at a cheaper cost and spread over a larger segment of the population.

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## LEARNING SOLUTIONS - IGUAL

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### Abstract:

The low quality of primary and secondary education in most Latin America countries is a well-known problem. As a response to this reality, the private educational market has been steadily growing in those countries. These private schools, in general, offer a higher quality and personalized education for the students that can afford it. The main selling point of these institutions is access to better resources: better teachers, technologies, materials and pedagogical methods. This difference in education quality creates a problem once students from public schools reach university.

This IGUAL project will generate learning solutions (combination of e-learning software, pedagogical methodologies and learning materials) to facilitate the assimilation of new knowledge and the development of new skills even when the student has deficient background knowledge and/or under-developed required skills. The solutions that this project will provide have the potential to be used by all students in the Latin American

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**Key Words:** Education, learning software, pedagogical methodologies, learning materials

### Introduction:

The low quality of primary and secondary education in most Latin America countries is a well-known problem. As a response to this reality, the private educational market has been steadily growing in those countries.

The IGUAL Project proposes the use of innovative learning technologies to help university students from public schools to bridge the knowledge and skill gap with their private schooled counterparts. This project is being developed by the following partners from Europe Union:

- Tampere University of Applied Sciences (TAMK), Tampere, Finland;
  - Universitatea Tehnica de Constructii Bucuresti (UTCB), Bucharest, Romania
- and also from Latin America:
- Universidad Autónoma de Aguascalientes (UAA), Aguascalientes, México;
  - Universidad de los Andes (UNIANDÉS), Bogotá, Colombia;
  - Escuela Superior Politécnica del Litoral (ESPOL), Guayaquil, Ecuador;
  - Universidade Federal do Pampa (UNIPAMPA), Bagé, Brazil;
  - Universidad Austral de Chile (UACH), Valdivia, Chile.

### Basic idea:

These private schools, in general, offer a higher quality and personalized education for the students that can afford it. The main selling point of these institutions is access to better resources: better teachers, technologies, materials and pedagogical methods. This difference in education quality creates a problem once students from public schools reach university. The public schooled students have a strong handicap in their performance in a demanding and fast pace environment where professors are more concerned with the delivery of knowledge to large audiences than with catering to the specific needs of each student. This problem is aggravated by the fact that the great majority of public schooled students belong to low-income families. All the problems that arise from this social status in Latin America (need to work at an early age, economical difficulties, etc) also conspire to reduce the probabilities of success of these students. In this light, it is not just understandable, but to be expected, that the private schooled students out-performed their public schooled peers and gain better opportunities at the labour market.

The unequal primary and secondary education system in Latin America contribute to the inflexibility of the social mobility. Students that could afford private primary and secondary education have much better opportunities to have access to high quality universities and to complete successfully their studies. On the other hand, students that due to their socio-economical status only had access to public education have, statistically, a lower chance to enter universities and to obtain a professional degree. This has a negative impact on the competitiveness of Latin American countries, as only the middle- and high-income segments are fully contributing to the pool of specialized workforce while the talent and potential is uniformly distributed among the whole population. While scholarships and subsidized or free higher education could help to overcome the economic problems of low-income students, the lack of an adequate primary and secondary education has not been directly addressed in the region. While improving public basic education is the ideal solution to the problem, changing current educational structures have proved to be a long-term and difficult project for any country.

The main problem to be addressed during this project is the increased level of difficulty that public schooled students confront during their university studies, compared with their private schooled counterparts. This difficulty results in lower performance and a higher level of dropout. The only way to deal with such great individual differences in the students will be to personalise the learning process for each student according to their current status and capabilities. A feasible and scalable alternative to personalise the learning experience of the students is to use learning technologies to create automated solutions to follow the students during their learning process, identify areas or skills that they require but are lacking, recommend them appropriate content from learning material repositories and guide them through learning paths adapted to their individual needs. This project will generate learning solutions (combination of e-learning software, pedagogical methodologies and learning materials) to facilitate the assimilation of new knowledge and the development of new skills even when the student has deficient background knowledge and/or under-developed required skills. These learning technologies, initially developed in Europe, could be adapted to provide several “helpers” or “automated tutors” for each learner. Even if not perfect when compared with human tutors, these technologies could help disadvantaged students to receive the extra support needed to overcome the gap with their peers.

The solutions that this project will provide have the potential to be used by all students in the Latin American Universities to support their learning process. However, it is expected that the public schooled students will be the main beneficiaries from these innovations, as they will enable those students to overcome the disparity in knowledge and skills with privately schooled students. In the context of the validation studies, at least 2000 students will be directly or indirectly involved in the different Latin American Universities that partner in this project by participating the pilot courses. If the project proves to generate positive results, this experience will be repeated each academic year and expanded to other knowledge areas apart from the pilot. The local companies are also final beneficiaries of this project. They can increase their competitiveness with new well-educated graduated professionals as their employees. Another final beneficiary group is the Latin American countries, as the know-how increases in the companies the competitiveness of the countries also increases.

In order to assure the dissemination and exploitation of the solutions proposed in the project, the Latin American Community of Learning Objects (LACLO) will be used as a way to reach other Latin American higher educational institutions beyond the project participants during and especially after the project. Also, this project is the first collaboration approach between two existing regional networks, Codewitz in Europe and LACLO in Latin America. All the project partners come from these networks. There are several activities such as a joint conference and virtual seminars during the project to create links between the members of both networks. All the project results are made technically compatible to be shared in both networks.

The objective of this project aligns itself with one of the specific objectives of the ALFA III program, namely, to improve the quality, relevance and accessibility of Higher Education in LA, particularly for the most vulnerable groups. If more low-income students successfully finish their studies despite the deficiencies in their basic education, the project will have a direct, positive impact

in the accessibility of higher education for a segment of the population (public schooled students) that is usually in a disadvantaged position compared with students that could afford private schools.

This project also supports two of the three ALFA III priorities. First, the adoption of innovative learning technologies to solve current pressing issues will help in the modernization of Latin American HEIs. Moreover, these technologies are aimed to the most disadvantaged group of students and will be implemented in two of the poorest countries in the region. Second, the creation of the solutions will require an intense exchange of ideas, learning materials, tools, methodologies and results in a level not seen before in the region in the area of learning technologies. This collaboration will strengthen existing regional networks, such as LACLO, and will create lasting bonds with European networks, such as Codewitz.

### **Research directions:**

- **Analysis of State-of-the-Art Solutions for Personalised Learning Support**

LA partners, with the help of European partners, explore the state-of-the-art solutions for Personalized Learning Support developed and/or used in Europe. The partners collect and report the technologies used, promising results and good practice. This report will serve as base to select the technologies to be adapted to the Latin American needs and context. Each LA partner will assign at least one researcher to contribute to the report. This activity is conducted in parallel with the Need Analysis. Output will be one state-of-the-art report about European technologies for Personalized Learning Support

- **Data collection for Needs Analysis**

In order to determine the specific need of personalization that public schooled students have at the University, all LA partners will apply common questionnaires to their students and professors. Both LA and European partners discuss and approve the questions and the form of the final questionnaires. The overall activity is coordinated by the project coordinator. All LA partner will make necessary translations of the questionnaires and will apply them to their own students and professors. Each LA partner writes a report about their findings from the results of the conducted Need Analysis. Output will be a Questionnaire, results and also a Draft Need Analysis Reports

- **Need Analysis and Needs Analysis Meeting**

To unify the view of all the partners about the need analysis, ESPOL will coordinate the on-line discussion and the writing for the final report. To conclude the Need Analysis report, all partners will send a delegate to a meeting and visit to UNIANDES, Colombia. During this meeting the final discussion about the need analysis will take place and an agreement is reached over its content. During this meeting also, the Needs Analysis is contrasted against the State-of-the-Art report to establish the best European learning technologies to be adapted to address the knowledge and skill gap between public and private schooled students through the adequate use of automated personalization. Output will be Recommended Technologies Report

### **Proposed solution:**

The overall objective of this project is to improve the accessibility of higher education in Latin America for students from public schools. There is a measurable gap between the quality of education between private and public schools in most Latin American countries. This gap has an immediate impact on the level of accessibility to higher education for each one of those groups. Students that come from the public schools have a lower probability to enter higher education institutions and also an even lower probability to finish successfully their studies. While there are several factors that are responsible for these results (need to work while studying, lower expectations), the knowledge and skill gap between private- and public-educated students is a key problem that aggravates the others. This project will propose innovative, contextualised solutions, based on proved learning technologies, to help students with a public school background to rapidly close the gap and compensate for handicaps in their basic education.

The specific objective of this project is to create and validate innovative and contextualised solutions to reduce the knowledge and skill gap between private- and public-educated students. These solutions will help the student to acquire new knowledge and skills, providing individually directed

support based on the particular background and profile of the student. The personalised learning solutions will early detect problems with the students' knowledge and skill background, suggest students to review topics that were not being well covered in their basic studies and to recommend the student with activities to improve the level of their under-developed skills. Students with the public school background can use these tools to cope with deficiencies in their previous studies and to be up to par with their peers from private schools. The effectiveness, efficiency of the different solutions, as well as their positive impact in the students from public schools, will be evaluated and validated through their concurrent application and evaluation in all Latin American institutions that partner for this project. The application area will be introductory computer programming, where the gap between public and private basic education is the widest due to the limited access to technological resources in public schools.

The Latin American partners tackle the common problem of accessibility of the university studies concretely by delivering 6 learning solutions. The solutions put all their emphasis on enabling easier learning process for those students who have weaker background to catch up with the basic level of knowledge required in the university studies. These solutions would help to reduce the knowledge and skill gap between public and private schooled students. The solutions to be developed during the project are:

- Adaptive Learning Materials, which provides a methodology and tools for the easy creation of content that adapts to the student's specific needs. For example language, learning style, way to access the material, etc. This solution will be coordinated by UNIPAMPA, with the support of UAA, UNIANDES and TUCEB.
- Problem Solving Protocols which provides a way to adapt not only the content, but the process needed to solve a problem, depending of the mental models of each student. This solution will be coordinated by UAA, with the support of UNIPAMPA, ESPOL and TUCEB
- Adaptive Learning Design is a solution providing a methodology and tools for the creation of learning paths and designs in a way that enable the automatic adaptation to the students background knowledge and skills. This solution will be coordinated by UACH, with the support of UNIANDES, UNIPAMPA and TAMK.
- Social Sharing and Recommendation of Learning Materials is a solution for integrating familiar social media features into the process of sharing and recommending learning materials. This solution serves also as the main valorisation channel as all produced solutions and learning materials are distributed freely as open source through the platform. This solution will be coordinated by ESPOL, with the support of UACH, UAA and TAMK.
- Evolving Adaptive Framework this solution will provide the students an integrated and personalized way to access and use the other solutions created in this project. This solution will be coordinated by UNIANDES, with the support of UACH, ESPOL and TUCEB.

### **Conclusion:**

#### ▪ Design and Implementation of Innovative Learning Solutions

Given that several groups will work in parallel to develop different solutions, a set of technical standards will be set to ensure the interoperability of the different solutions. The topics to be agreed during those discussions are for example learning material metadata standards (Dublin core or LOM etc.), packaging standards (SCORM or IMS or LAMS etc.) and communication standards (SQI or OAI-PMH etc.). All partners participate in the discussion and the task coordinators will publish a final document. The use of appropriate standards ensures the maximum exploitability of the solutions. All partners will follow the agreed standards that will be included in the quality plan document.

#### ▪ Designs and Implementation Plan for the Learning Solutions

Different solutions based on learning technologies will be proposed as ways to reduce the gap between private and public-schooled students in Latin American Universities. These solutions will exploit the research conducted in several areas of learning technologies in Europe and Worldwide. Each solution will be designed and implemented by development teams. The first partner in the

development team coordinates the work. The tentative solutions, pending confirmation by the need analysis, are the following:

- **Adaptive Learning Materials**

Adaptive Learning Materials, which provides a methodology and tools for the easy creation of content that adapts to the student's specific needs. The development team enables and produces adaptation to 100 learning materials.

- **Problem Solving Protocols**

Problem Solving Protocols, which provides a way to adapt not only the content, but the process, needed solve a problem, depending of the mental models of each student. For the pilot courses the development team will produce 40 problem protocols.

- **Adaptive Learning Design**

Adaptive Learning Design is a solution providing a methodology and tools for the creation of learning paths and designs in a way that enable the automatic adaptation to the students background knowledge and skills. The development team produces accordingly 60 learning designs for the use in the pilot courses.

- **Social Sharing and Recommendation of Learning Materials**

Social Sharing and Recommendation of Learning Materials is a solution for integrating familiar social media features into the process of sharing and recommend learning materials. This solution serves also as the main valorization channel as all produced solutions and learning materials are distributed freely as open source through the platform.

- **Evolving Adaptive Framework**

Evolving Adaptive Framework this solution will provide the students an integrated and personalized way to access and use the other solutions created in this project.

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## AN EMPIRICAL INTERROGATION OF INSTITUTIONAL NORMS AND PATTERNS IN UNDERGRADUATE RESEARCH

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### Abstract:

The study evolved through an empirical observation of how undergraduate research is practiced at the Redeemer's University (Redeemer's), Nigeria. The institutionalization process framework advanced by Farashahi, Hafsi and Molz (2005) was then used to empirically interrogate how actors that are involved in undergraduate research through various taken-for-granted actions play out the processes of institutionalizing undergraduate research norms and pattern in the Redeemer's. The study is a longitudinal and an interpretive study that adopted the traditional ethnography research methodology which informed its triangulation of three data collection techniques namely, ethnographic observation, interview and questionnaire. The data collection techniques generated qualitative and descriptive statistical data that was used to observe the institutionalization of undergraduate research process (that is, research administration at the College and Departmental levels, research objective setting and research topic selection approaches at the students level) at three stages-externalization, objectivation and internalization. The finding shows that there are evolving institutionalization of undergraduate research norms and patterns at the Redeemer's. Recommendations were provided on the reasons why the emerging institutionalization of undergraduate research norms and patterns need to be formalized and adopted as source of knowledge for regulating research at the Redeemer's.

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**Key Words:** Institutionalization process, undergraduate research, undergraduate research norms and patterns, Redeemer's University

### Introduction

Teaching research methodology is pedagogy on its own right (Feuer, Towne and Shavelson, 2002). Hence, every academic field of study pays very good attention to designing and implementing research methodology curriculum that is adequate and appropriate for transferring its research culture into its up coming members (Scott, Miller and Lloyd, 2006; Pratt, Margaritis and Coy, 1999; DaHaven, Wilson and O'Connor-Kettlestring, 1998). The socialization process leading to the inculcation of research skills into undergraduate students is very vital and requires that it should be carefully implemented and monitored. This is fundamental because it is made up of socially constructed meanings which may differ in different academic and/or practical contexts. This makes teaching undergraduate students the skills required to be able to maneuver through the natural and social landscape where research phenomena are interrogated a complex task (Jarvinen, 2000; Fitzgerald and Howcroft, 1988). The consequence of this is that high ranking universities are believed to be those that have instituted a good research culture across various levels of their education, beginning from undergraduate research through postgraduate research to post doctoral research and faculty research (Garde-Hansen and Calvert, 2007; Morrison, Oladunjoye and Onyefulu, 2007; Merkel, 2001). While much has been done at postgraduate level leading to consensus about what higher degree research should be, very little consensus has been reached regarding the importance of undergraduate research and how it can be institutionalized.

For example, Hunter, Laursen and Seymour (2007) carried out a study which revealed that research carried out by undergraduate research students impact on their cognitive, personal and professional development. In another instance, Leckie (1996) did a study to assess how undergraduate students involved in research approach information resources domiciled in the library and the role information retrieval skill education play in enabling undergraduate students doing

research to be able to access required literature they need for their citations. In the end of his study one of Leckie's conclusions is that academic fields should try and develop teaching programs through which undergraduate students can acquire required information retrieval skills as part of the research skills they must cultivate. It has however, since been proven that such information retrieval skills are not only useful for research, but also vital to operating in the world of work that is evident in the information age (Lloyd, 2010; Lloyd, 2004; Bruce, 1999). However, some scholars have expressed conflicting views about research in the university context. This group of scholars sees undergraduate research as conflicting and hampering the level of teaching undergraduate education requires (Marsh and Hattie, 2002; Milem, Berger and Day, 2001; Cooke, 1998; Johnston, 1996; Barnett, 1992; Ramsden and Moses, 1992; Sample 1972). Scholars who tried to find out why there are conflicting views regarding the role research and teaching play in universities pointed to the confusing conceptualization of the concepts of research and teaching among affected scholars. They argued that this confusion influence the ways some scholars judge how research and teaching can complement each other (Brew, 2002; Hattie and Marsh, 1996; Brew and Boud, 1995).

Despite this seeming confusion inherent in the ways scholars conceptualize research and teaching some of them have argued that research and teaching are complimentary, by pointing to the fact that research has shown that lecturers learn and improve on their teaching techniques and course contents through their research (Centra, 1983; Bretton, 1979; Rowland, 1996; Jenkins, 2000; Zamorski, 2002). This is also synonymous to the argument that students learn more practically and interdependently through their participation in undergraduate research. This is more so if we take research to include independent learning activities such as the project based learning which do not compulsorily lead to the writing of a method based monograph (Utulu and Alonge, 2012; Hunter, *et al.*, 2007). Irrespective of how the relationship between research and teaching is viewed most universities have maintained the culture of placing research on a high pedestal and thereby invest considerable amount of human, time and money resources on it. While the resources invested into research differ at varying level of research in a university, the attention paid to research and how it is practiced also differ. Most universities pay very little attention to research at the undergraduate level despite the fact that undergraduate students are required to carry out independent study in a research project form and report them in the form of monographs before graduation (Garde-Hansen and Calvert, 2007; Morrison, Oladunjoye and Onyefulu, 2007).

Intrinsically, independent research project are required to be completed by undergraduate students before graduation in Nigerian universities, which makes it worrisome when observation shows that some universities in Nigeria, especially privately owned universities, do not pay required level of attention to undergraduate research despite the existence of studies by Garde-Hansen and Calvert (2007) and Feuer, *et al.* (2002) which highlighted the dangers associated with such as a neglect. This research was therefore carried out to point out to the case study university and other universities that share the same characteristics with the case study university that despite the fact that they feel that undergraduate research is a minor academic endeavor that the processes that comprise undergraduate research may develop into patterns and norms which may unconsciously become institutionalized. The consequence of this is that such unconsciously institutionalized norms and patterns could unknowingly become the bed rock of the research foundation which undergraduate researchers take into their postgraduate research life. This scenario could have diverse effect on their ability to do research if such norms and patterns are not good enough and not quickly deconstructed. Hence, the objectives of the research reported in this paper are to find out if there are norms and patterns in undergraduate research at the Redeemer's University (Redeemer's), Nigeria; determine if the norms and patterns have emerged into institutional norms and patterns at Redeemer's; and to come up with a model that will explicate the social reality constructed by emerging undergraduate research norms and patterns in Redeemer's. In order to be able to achieve these object we set the following research questions: are there norms and patterns in the practice of undergraduate research at the Redeemer's, and are the norms and patterns detected emerging into institutionalized research norms and patterns at Redeemer's? The researcher hope that ones the research questions are appropriately answered that the research would have contributed to knowledge in two ways. First, it is a theory building paper that aims to develop a theoretical framework which schools, colleges, faculties, departments and small sized universities can use to assess the emergence of norms and patterns in the

practice of undergraduate research. Secondly, it has practical relevance to the Redeemer's based on the fact that its finding will help it to understand emerging institutionalized norms and patterns in its undergraduate research after existing as a university for eight years.

### **Research Problem**

Reality is socially constructed. However, it is always quite possible for a socially constructed reality to be wrong. Despite the fact that social reality has been presented as both subjective and objective, and its meaning derived from consensus, it can however, be wrongly judged. The fact that university communities know this has endeared them to always assess through institutionalized research culture, the nature of natural and social realities which people live in. Universities however, sometimes take for granted the institutionalized norms and patterns which evolve over time, and which guide their actions and the ways they carry out research. This kind of carelessness towards the assessment of institutional norms and patterns is getting profound in universities as exemplified by the low frequency of the check of how research norms and patterns are instituted within it. Most times this kind of check are left in the hands of academic fields which in most cases lead to academic field based institutionalized research norm and pattern assessment. We assumed that if care is not taken that this may lead universities into situations in which they will lack adequate and appropriate knowledge of the norms and patterns institutionalized in them. At Redeemer's there is a high expectation among academic staff because of its newly approved postgraduate programs. While much has been said about how the new postgraduate programs will lead to greater research activities, little has been said about the need to assess its evolving research norms and patterns and how they have been institutionalized at the undergraduate level. This is irrespective of the fact that such an assessment can provide very vital information that is required to fix loose ends regarding the setting of research objectives, policy formulation and administration of research in the university across all levels of research. We also know that this kind of assessment can provide information regarding emerging institutional norms and patterns of research that are vital to interpreting the research culture peculiar to the university. This particular problem of lack of interest and information on prevailing research culture which is expressed in the form of norms and patterns of undergraduate research led to this particular research. It is hoped that the research will provide required information about the research culture peculiar to Redeemer's as a first step to solving the problem and as a second step develop a framework which can be used by Redeemer's and other universities that share its characteristics to assess the social realities that have been constructed in them based on the years of undergraduate research they have been involve in.

### **Theoretical Framework**

#### ***Institutionalization Theory***

Institutionalization theory is one of the body of theories that focus on how organizational actions are institutionalized, that is, taken-for-granted part of everyday life of actors within an organization. In trying to provide the institutional context through which institutionalization theory evolved Schneiberg and Soule (2005) pointed to Selznick's (1957) and Berger and Luckmann's (1967) classic work that proved the basis for using institutionalization theory as a critical agenda for sociologist and social constructionists. As a result, sociologies such as Meer and Rowan (1977) argued on how "formal structures [which may lead to institutionalization] of many organizations in post industrial society...dramatically reflect the myths of their institutional environments instead of their work activities (p. 341)." This kind of questioning of formal structures and their conformity with real work activities gave background credence to research carried out to assess how work activities emanate into norms and patterns through the institutionalization process. Jacobs' (2002) work however, argued for the use of institutionalization to support organizational change initiatives which are deliberately initiated in an organization. According to Jacobs, if institutionalizing organizational change is combined with cascade training there is likely going to be an assurance that employee competence required to implement the organizational change initiative will be ensured.

Zucker (1977) in an earlier study have made claims of the role of institutionalization in ensuring cultural persistence in organizations. Using explanation found in the ethnomethodological approach to institutionalization, namely, objective-potentially repeatable by other actors without change in meaning- and exterior-intersubjectively defined so they can be viewed as part of external reality

and three levels of institutionalization created in the autokinetic situation, his findings provide strong support for the predictions that the degree of institutionalization, the greater the generational uniformity, maintenance and resistance to change of cultural understandings. This study extended the basis for asking questions about the role of institutionalization in implementing cultural changes in organizations and can also provide strong warrant for developing assumptions about the importance of institutionalization in the development of viable organizational processes and practices, including in universities as seen in later studies. Lawrence, Winn and Jennings' (2001) study pointed to how pace and stability within an organization seeking to institutionalize certain practices can support the institutionalization process based on four mechanisms—*influence, force, discipline, and domination*. Intrinsically, these four mechanisms play out in organizational actions either deliberately or otherwise. Ever since the early period reflected in Selznick (1957) and Berger and Luckmann (1967) scholars which we may term as social constructionists such as Reyna (2005) have adopted the institutionalization theory to assess the institutionalization process of social sciences in Mexico; paying attention to how the relationship between the state and social science institutions in Mexico may have influenced the institutionalization process of social sciences in the country.

Erno-Kjølne (2000) borrowing from the Mertonian ethos of science related the discussion of scientific norms to the discussion of research management and policy to provide information on how Danish academic institutions are undergoing significant changes. The issue of institutionalization has found a place in academic interrogation of cultural aspects of university life across diverse societies, either with regards to administration and management or with regards to teaching research and learning. For instance, Lozano (2006) elaborated on how sustainable development can be incorporated and institutionalized into university policies, education, research, outreach and campus operations as a way of making it a core part of university culture. Farashahi, *et al.* (2005) did a 20 years systematic literature review of research grounded in institutional theory and found out that empirical research is well behind changes in social realities which may have been as a result of institutionalized process of research in academic institutions and the difficulty scholars face when trying to move out of established models and practices. Scholars such Hunter *et al.* (2006), Feuer, *et al.* (2002) and Garde-Hansen (2007) carried out studies about cultural aspects of research in universities and how they were institutionalized, even though these authors did not explicitly refer to the taken-for-granted process involved in teaching, learning and research in universities as institutionalized processes. According to Farashahi *et al.* (2005) applying the “perspective [a theory introduced by a scholar] repeatedly and giving them similar interpretations over time can be considered as an institutionalization process of creating knowledge (p. 2).” This process involves three stages of externalization, objectivation and internalization (Berger and Luckmann, 1966) which Farashahi and his colleagues argued that lead to the process of institutionalization of research practices which is comprised of three characteristics namely, cognition, diffusion and legitimization.

This particular study draws from Farashahi *et al.* (2005) institutionalization process which evolved from the use in the literature of institutionalization theory to evaluate research activities in universities. We present the Figure below showing Farashahi *et al.* (2005) description of the institutional process framework which we adopted to interrogate our empirical observation about the possibility of having an emerging institutionalization of undergraduate research norms and patterns at the Redeemer's.

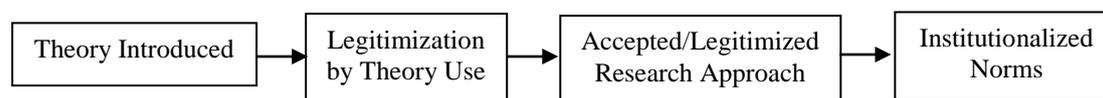


Figure 1: Farashahi, Hafsi and Molz (2005) Institutionalization Process Framework Model

### Assumption

There is likely going to be an emerging institutionalization of undergraduate research norms and patterns at the Redeemer's University considering the fact that undergraduate students are taught how to do research through various research methodology courses and because they are obliged to carry out independent research studies before graduation.

## Research Design

The study is inductive, longitudinal, and interpretive study that adopted traditional ethnographic research method. By indicating that the study is inductive we mean that the study set out from specific theorization (institutional process framework) to formal theory development (research norms and patterns in Redeemer's). We seek to move from institutional process framework to a framework on undergraduate research norms and patterns in Redeemer's which will be useful in providing the bases for the assessment of undergraduate research norms and patterns formation. This study is longitudinal because of the time framework within which the ethnographic observation and data collection were completed. In other words, ethnographic observation and data collection completed in two academic sessions. The study is interpretive because of the world view which the researchers adopted to view both the empirical research context phenomenon. As a result, we approached this research with the belief that reality is socially constructed and that knowledge is subjective. This endeared our adoption of the traditional ethnographic research method which facilitated direct observation of the research phenomenon within the research context, and hence, helped the researchers to determine the questions that formed the nucleus of the interview done with senior academic staff of the Redeemer's and the variables that made up the questionnaire items.

Meyers (1999) defined ethnography research method as a research method that permits the researcher to immerse himself in the life of the people he is studying and seeks to place the phenomenon under study in the social and cultural context of the people under study. Traditional ethnography is taking a ethnic (ethno) snapshot (graphy) that is studying cultures and elements of culture in the society where the culture is emitted. Wilcox (2008) suggested that ethnography research deals with employing direct, real-world observation, spending significant amount of time in the environment where the research phenomenon takes place and carefully considering the context in which the research phenomenon takes place. He listed six factors that must be carefully considered during an ethnographic research design that will ensure its reliability and validity:

1. Carefully choosing the sample, based on prior knowledge.
2. Using measurement whenever possible.
3. Engaging in cyclical hypothesis testing.
4. Using video as tool to obtain objective data
5. Using covering methods.
6. Finding face value.

We carefully chose Redeemer's as the sample university because of our prior knowledge of the university as staff of the university which led to the empirical observation interrogated in this study. We chose to use interview and questionnaire as a possible measurement tool for deriving the existence of undergraduate research norms and patterns at Redeemer's. In the beginning of our observation we concentrated on formal norms-externalization, objectivation and internalization-derived from the literature (Farashashi, *et al.*, 2005), however, we adopted cyclical hypothesis testing which allowed us to observe relationships, influences, patterns, etc. which informed our coming up with the actor variable. Engaging in cyclical hypotheses helped us to reach the conclusion on our derivation of undergraduate research norms and patterns framework which is the reason why we claim that our study is a theory development study. We used interview that lasted between 20 and 45 minutes to achieve the use of covering methods. It helped us to assess consistency between answers and questions and to observe verbal and behavioural data which we used to check consistency across all the academic fields in the case study university. The ethnography research reported in this paper is a single site study; however, we used both interview and questionnaire to ensure consistency of data. We developed our questions along the same themes and allowed responses to lead to other questions while we focused on the main objective of eliciting data on undergraduate research norms. In conclusion, having adopted five of the six requirements for validity proposed by Wilcox (2008), we felt that the validity of this study may not be in question.

## **Data Collection**

Data for the study was collected in three ways namely, ethnographic observation, interview with senior academic staff and questionnaire that elicited data on undergraduate researchers' demography, research objectives and research approaches. We deliberately triangulated the three data collection technique to increase the validity of the research (LeCompte and Goetz, 1982). However, ethnographic observations were carried out in classrooms and lecturer offices during teaching of research methodology courses and consultation with undergraduate student researcher. Unstructured interview was used to collect data from six professors regarding undergraduate research objectives, teaching and administration. Three hundred copies of a self-designed questionnaire were administered to elicit data regarding demographic data, research objectives and the research approach from final year undergraduate research students during the 2011/2012 and 2012/2013 academic sessions. The questionnaire copies were administered two months after the undergraduate students have had their proposals approved and have formally started their research projects during each of the sessions under evaluation. Two hundred and seventy seven copies were found useful after thorough scrutiny of the appropriateness of the ways respondents completed them and were analyzed using descriptive statistics simple percentage scores. The researchers used the data elicited from the undergraduate student researchers to determine their research objectives and approaches. The questionnaire was adopted by the researchers as data collection instrument in place of interview because it was adequate enough to elicit the required information on undergraduate research patterns at Redeemer's and because it allowed more undergraduate research students to participate in the research. The high number of undergraduate research students that participated in the research due to our use of the questionnaire was useful for validating the undergraduate research patterns that were emerging at Redeemer's.

## **Research Findings**

### ***Description of Respondents' Demography***

Five of the six professors are senior professors, while one is an associate professor (reader). All of them have had international research experiences by publishing in international journals or by research collaboration or by working as faculties in foreign universities. They have also taught at the undergraduate level and have been involved in research administration and supervision in at least two different higher institutions. As of the time of the interview three of the professors interviewed were Deans, while three were Heads of Department (HOD). One of the three HODs has also served as Dean at Redeemer's. This translates to the fact that interviews were conducted with professors in the humanities, social sciences, management science and natural sciences. We used this selection to achieve heterogeneity that is required for ethnographic research.

The undergraduate students who responded to the questionnaire were in two categories: those who did their undergraduate research in 2011/2012 and those who did their undergraduate research in 2012/2013 sessions. Those who did their undergraduate research in 2011/2012 session graduated in June 2012 after they had submitted their research project monograph, while those who did their undergraduate research in 2012/2013 session will graduate in June 2013. However, of the 277 undergraduate research students that participated in the study 137 (49.5 %) were in the 2011/2012 session while 140 (50.5 %) are in the 2012/2013 session. We reported other demographic details of the respondents without recourse to the session because a cross tabulation analysis we carried out did not show any variance in their demography that require its separation. Hence, the respondents were made up of 103 (37.2 %) males and 174 (62.8 %) females, with the following age ranges: 101 (36.5 %) were 18-20 years, 140 (50.5 %) were 21-23 years, 332 (11.6 %) were 24-27 years while only 3 (01.1 %) were above 27 years. We observed that the trend that occurred regarding age ranges (which we considered very young) of private university students in a study involving private universities (Utulu and Alonge, 2012) repeated itself. It may look unusual to have 101 (36.5 %) of 277 (100.0 %) sampled final year undergraduate students to be between the age range of 18-20 years having spent about four years in the university. This may mean that this group started university education at around fifteen years of age. This trend is pointing to the need for a demographic study of private university students in Nigeria in order to be able to categorically give a clear picture of a possible change in age ranges of university students in the country.

However, 141 (50.9 %) of the respondents reported that the academic field where they carried out their research is in the management sciences. About 52 (18.8 %) reported that their area of research is in the humanities, 47 (17.0 %) reported that their area of research is in the natural sciences, while 36 (13.0 %) reported that their area of research is in the social sciences. These data are influenced by the fact that there are three colleges (Humanities, Natural Sciences and Management) at the Redeemer's, of which management sciences account for more than half of the students population. The data provided by the respondents on their publication history show that only nine (3.2) of them have published at least once, another nine (3.2 %) have their write ups under review, while only four (1.4 %) indicated that they do not know that they can be involved in academic publishing. However, 250 (90.3 %) of them indicated that they have not been involved in academic publishing even though they were aware that they can be involved in academic publishing. These data is significant in two ways, first, it provides an avenue to assess the extent to which the Redeemer's have been able to expose and create awareness in its undergraduate students about what academics entails. It also allowed the researchers to see if there will be any exceptional cases of active participation in academic publishing since at undergraduate level students are not expected to be involved in publishing. The fact that four (1.4 %) indicated that they have published and another four (1.4 %) indicated that they have their works under review justifies that our suspicion that there may be some exceptions in Redeemer's undergraduate research activities plays out in reality. Since the scope of this research did not cover scrutinizing the sources where those undergraduate research students that claimed that they are involved in academic publishing published their works, the researchers therefore did not carry out an investigation of the sources.

### ***Research Topic Selection Approaches***

Five statements were provided as an explanation of possible research objectives which may drive undergraduate researchers' research endeavours. We assumed that responses provided on research objectives can provide information about research patterns if majority of the undergraduate researchers evaluated tend to be driven by specific forms of objectives. Data is provided in the Table below:

Table 1: Undergraduate Researchers' Research Objectives

Statement of Objectives	Yes		No	
	No.	%	No.	%
Raise a question that is persisting in my academic field of study	35	12.6	242	87.4
Raise a question that is persisting in my academic field of study and provide answer to it	39	14.1	238	85.9
Answer a question that will solve a persisting problem in my academic field of study	15	5.4	262	94.6
Confirm an already known truth about a persisting phenomenon in my academic field of study	31	11.2	246	88.8
Expand an existing knowledge in my academic field of study	156	56.3	121	43.7

Table 1 shows that there is a pattern that points to the fact that undergraduate researchers at the Redeemer's tend to set research objectives that has to do with expanding existing knowledge. This definitely points to a kind of research pattern in the university. Although the scope of the research reported in this paper did not include finding out the kind of knowledge undergraduate researchers at the Redeemer's are trying to expand, that is to say, if the knowledge is about some practical or theoretical phenomena, going by how research is conducted we can assume that undergraduate research pattern at the Redeemer's seeks both theoretical and practical relevance through knowledge expansion. Apart from this notion, the fact that the pattern observed is mainly on expanding existing knowledge also points to the fact that undergraduate research at the Redeemer's still revolve round interrogating existing phenomena not creating or raising new phenomena. This requires some assessment as it may develop into a social reality where undergraduate researchers at the Redeemer's

university will be tied to what has always been researched in their fields, thereby taking away required level of creativity that will lead to the carrying out innovative and ground breaking research.

Table 2: Undergraduate Researchers' Approach to Choosing Research Topics

Research Approaches	Yes		No	
	No.	%	No.	%
Phenomenon Based Research Topic Selection Approach	118	42.6	159	57.4
Literature Based Research Topic Selection Approach	91	32.9	186	67.1
Supervision Availability Based Research Topic Selection Approach	48	17.3	229	82.7
Department Directed Research Topic Selection Approach	20	7.0	257	93.0

Table 2 also shows that there is some kind of pattern in the ways undergraduate student researchers at the Redeemer's approach the choice of their final year research topics. This is because 42.6 % of them indicated that they approached the choice of their research topics through the phenomenon based research topic selection approach. We defined phenomenon based research approach as a situation in which the undergraduate researcher developed his/her research question(s) and objectives based on phenomenon he/she has observed. Here, most of them indicated that their approach to their final year research was phenomenon based, that is, that they carried out their research as a result of some empirical phenomena they observed. The phenomena based approach is most likely to lead to practical relevance if well managed, since it was derived from observation of empirical situations. Very close to the phenomenon based research topic selection approach is literature based research topic selection approach which we defined as a situation in which the undergraduate researcher developed his/her research topics based on gaps he/she observed in the literature. We consider that literature based research topic selection approach constitute and emerging research pattern based on the fact that about 32.9 % of Redeemer's undergraduate researchers adopted it. In other word, we are saying that phenomenon and literature based research approaches constitute evolving research topic selection approach patterns at the Redeemer's.

### **Research Norms**

#### **Externalization and Objectivation**

We identified that research culture can be externalized in Redeemer's through undergraduate research policy, teaching research methodology, and supervision of undergraduate students carrying out their final year research projects. All the interviewed Professors indicated that they do not have written undergraduate research policy in their colleges and departments. Their responses also indicated that there is different view of what undergraduate research policy is about and whether it is necessary or not. In this study we take objectivation to be the acceptance and usage by a scholarly community the externalized ideas, theories, methodologies and frameworks about knowledge generation through research. Consequently, with regards to objectivation of research at Redeemer's data from the interview showed that lecturers who serve as supervisors and mentors help students to objectivate externalized ideas, theories, methodologies and frameworks in their fields of study. The responses are shown below:

Professor 1:

*There is no research policy for the undergraduate level research. There is policy to be strengthened for the postgraduate program...*

Professor 2:

*We have research policy, but it is not documented policy. The demand at the undergraduate level is below that of postgraduate. However, we are obliged to teach undergraduates how and why research is done, to carry out research that will be reported in project form. No need for policy because all staff are aware of what to do in terms of undergraduate research. When we come to higher levels then there must be policy.*

Professor 3:

*It is too early at this level [undergraduate level] to have a research policy because the students are gradually being introduced to research as a discipline through the students' project which they do in their final year.*

Professor 4:

*My understanding is that object of research is general and I don't think that there is need to enunciate a particular policy for research at various levels. Making a kind of policy will be limiting the scope of the context or contents which students as researchers can dabble into, so people should be free to enquire into any area which a particular department focuses on.*

Professor 5:

*Yes there is, it emanate from...NUC, but also flows from the university's policy and disposition towards research. We know that for higher degrees-masters, MPhil and PhD, the undergraduate is the foundation and so embedded in the university's curriculum we have things that have to do with research...*

Professor 6:

*Each Department has got a policy, but the policy is rudimentary. It is more on how do you manage undergraduate research project? How do they present their report? How do they divide their projects into chapters? We hope that we will use the opportunity of postgraduate studies to be able to formulate policies that will put the students at the forefront of growth and development.*

Responses on teaching undergraduates research methodology

Professor 1:

*Right from third year we have a course called 'research methodology' where we introduce students to the different methods of research. [This course is meant to make them to start] thinking about essays question and long essays-junior thesis. There are some lecturers who would say [to students] there is an area I want to do [research] and I could not do [research] it, could you do [carry out your research on] it. Most lecturers tries to give [influence students to choose] a research topic they can control.*

Professor 3:

*The culture of research is being inculcated into them in terms of how they select their topics, what problems are they trying to solve what could the aims and objects of the project be, which method they are going to use and by that make them familiarize themselves into some developments in the areas which where they want to identify some unsolved problems..*

Professor 4:

*Introduction to research courses are taken at 300 level [third year]. We have tow types of courses on research, one is general 'introduction to research' and the second is 'communication research' taken at 300 level first and second semesters. They [undergraduate researchers] use knowledge gained in these course to write their final year projects.*

Professor 5:

*...the whole process begin begins in 300 level because from that point they have courses on research methodology and the original project they do is suppose to be guided by research ethics they learn in their research methodology courses.*

Responses on supervision of undergraduate students carrying out their research projects

Professor 1:

*In my College we have 'defenses' [oral presentation] where the Part 3 students who are going to final year will come up with topics and say this what I will like to write about. We allow it to*

*generate from them. This is amended by the staff for suitability. We use this strategy to internalize thesis writing; through guidance provided by lecturers.*

Professor 5:

*To achieve [research] relevance, we allow academics to collaborate with undergraduate students. The students first talk about their interest...come up with an area of interest where he coins two or three topics. The lecturers help the students to fine tune his interest before writing his proposal and this will help to bring the issue of relevance to fore. Students do not just go for a research topic without this procedures: once a student identify a research topic that is relevant, the onion will now be on the supervisor and the student to ensure that the outcome of the research supports solving problem in the society.*

There are several ways of externalizing research culture in a university, we have identified three at the Redeemer's: research policy, research methodology curriculum and research supervision and mentoring. These three have been used to help undergraduate research students understand research culture that are considered relevant to their different academic fields.

#### *Internalization*

We take internalization to be norms for conducting and disseminating research that has been practiced over time and has been taken as accepted in a research community. We therefore, operationalized internalization as publishing and presentation in conferences in the context of this research. Data provided through interviews however, present the details of internationalization of research culture at the Redeemer's thus:

#### *Conferences Attendance and Publication by Undergraduate Researchers*

Professor 1:

*I am hoping the we finalize our plans to help good students do paper presentations in conferences. We are planning something like a college day as an alternative program for encouraging and making students do paper presentations.*

Professor 2:

*A student has published a paper with her supervisor on health issue on Redemption Camp and Mowe axis [Redeemer's host communities]. We take our students to conferences nearby. Thirty four of our students went with me to Olabisi Onabanjo University,[ Ogun State, Nigeria] and about that number to Federal University of Technology, Akure, [Nigeria] for the National Association of Radio Science conference. We use conference experiences to prepare them [undergraduate researchers] for the future.*

Professor 5:

*The College is interested in helping undergraduate students present their research outcomes for publication and conferences. We do mock defense [oral presentation of research] before external supervisors come in for final evaluation, which help to assess what students are researching into.*

Professor 6:

*We have one of our undergraduate [research] projects being accepted and undergoing review. Weather an undergraduate project is publishable or not depends on the supervisor.*

There have been emerging undergraduate research norms at the Redeemer's, although these norms have been taken for granted indicated by the data collected through the interview. This is quite positive as the literature describes institutionalization as taken-for-granted actions that accumulate to become norms and patterns (Farashahi, *et al.* 2005; Schneiberg and Soule 2005). It was revealed that across varying fields in the university strong interest has been shown to indoctrinating undergraduate research students into academic publishing and conference presentations.

### Emerging Institutionalization of Redeemer’s Undergraduate Research Norms and Patterns

What we did in this study was to trace and put into context social realities that make undergraduate research administration and practice at the Redeemer’s. The data collected through ethnographic observation, interview and questionnaire were used to come up with Figure 2; a diagrammatic representation of the institutionalization process at the Redeemer’s. Our assumption was that there is likely going to be an emerging institutionalization of undergraduate research norms and patterns at the Redeemer’s University considering the fact that undergraduate students are taught how to do research through various research methodology courses and because they are obliged to carryout independent research studies before graduation. Our assumption was right considering the fact that the qualitative data analyzed showed that there are emerging institutionalization of undergraduate research norms and patterns which are perpetuated by actors ranging from Colleges, lecturers and undergraduate research students. We were able to identify the various actors involved in Redeemer’s undergraduate students research social realities through ethnographic observation where it was revealed that externalization of research ideas, theories, methodologies, and frameworks emanate from two actors namely, colleges and lecturers.

These two entities go a long way to determine the ideas, theories, methodologies and frameworks that were adopted by undergraduate research students for their final year research projects. With regards to objectivation, lecturers who serve as supervisors and mentors for undergraduate research students when carrying out their final year research projects, together with the undergraduate research students themselves are involved in social realities where objectivation plays out. Research activities that involve undergraduate students as researchers and lecturers as supervisors or mentors constitute objectivation of externalized ideas, theories, methodologies and frameworks. This leads to cognitive structuring, diffusion and legitimization which evolves into the institutionalization of norms and patterns which reflects in the objectives and approaches they adopt for research. As shown in Figure 2, one of the identified five institutionalized pattern of setting research objectives has strongly emerged as an institutionalized pattern, whereas two emerged as institutionalized pattern from the four identified research topic selection approaches undergraduate research students adopt.

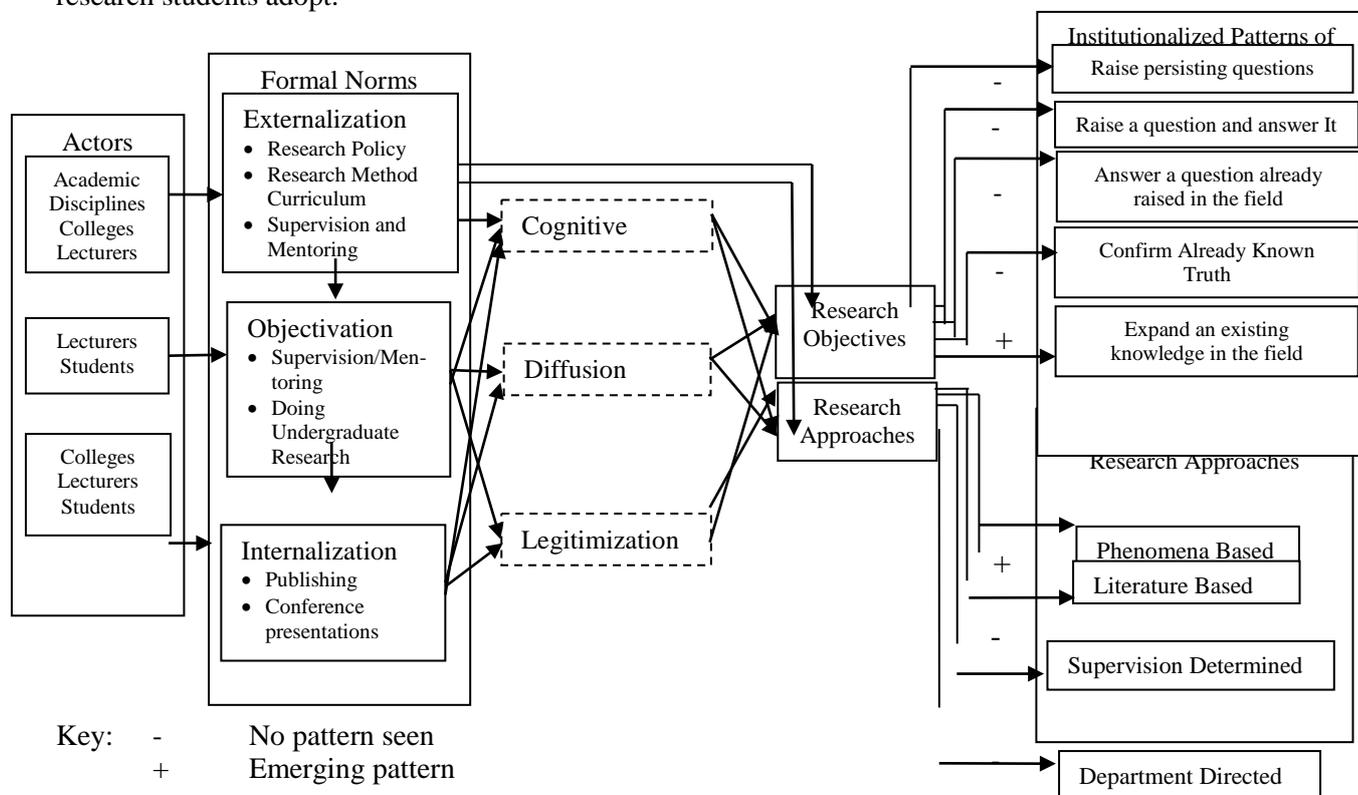


Figure 2: Undergraduate Research Norms and Patterns Institutionalization Framework

## Recommendations and Conclusion

We conclude that there is need to pay more formal attention to undergraduate research at the Redeemer's University considering the fact that it has the potential generate into institutionalized norms and patterns and the fact that undergraduate research serves as the training ground for postgraduate researchers. We are saying that it is better to construct accurate institutional research norms and patterns at the undergraduate level than to spend ample time trying to deconstruct wrongly inculcated institutional research norms and patterns at the postgraduate research level. Hence, there should be a written university wide undergraduate research policy which will provide the framework for undergraduate research policies at all levels, that is, university, college and departmental levels. Such policy framework will not only be useful to undergraduate researchers, it will also be useful for training and providing actionable framework for young supervisors and mentors who constitute a core part of the actors that are involved in the social realities that constitute undergraduate research programs at the Redeemer's. The fact that research topic selection approaches such as supervision determined and department directed research approaches do not constitute emerging patterns of undergraduate research social realities may have negatively influenced the number of cases of conference presentation and research publication reported in this study. This is because the two approaches constitute the primary approaches that are directly tied to supervisors' and departmental research projects which as a matter of fact will be more meaningful than those that emerge from phenomena empirically observed or observed from the literature by undergraduate research students. If we consider the fact that scholarship for postgraduate studies are provided to graduating undergraduate students that have competitive academic performance at the Redeemer's, then we would recommend that such students should be setup for supervisor determined or department directed approach to selecting undergraduate research topics. This may allow them higher level of rich research practices, conference presentations and scholarly publication experiences prior to their postgraduate studies.

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## TEACHER EDUCATION FOR SUSTAINABILITY-INSIGHTS INTO EVOLVING STUDENT TEACHERS` IDENTITIES

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**Abstract:** Teacher Education for Sustainability- Insights into Evolving Student Teachers` Identities  
The concept of sustainability is often discussed as an ecological, environmental concept but it is more complex and interdisciplinary concept. Ospina (2000) states that sustainability is not only a scientific concept, but more of a moral precept so when we discuss sustainable development of human societies, we come to the question of values and education.

A teacher, his/her values, attitudes, personal philosophies form a lens through which learning-teaching process is approached to, therefore teacher identity is of particular interest in this research. My research has the central question- how future teachers can be assisted in becoming aware of their potential to construct their own identities for sustainable worldview and to become a teacher with a holistic understanding of the world as one ecosystem. The key focus is therefore on student teacher`s personal philosophies about sustainability in the framework of evolving teacher identity. The results should give recommendations for teacher education curriculum to support the construction of teacher professional and personal identity towards sustainable worldview, including the development of relevant practices to be implemented through teacher education studies.

The ongoing research is a longitudinal qualitative research and takes the phenomenological approach, where the main methods are written narratives and in-depth interviews with case discussions. The sample includes a group of 9 student teachers (grammar school) to be studied over the 5 year period of initial teacher education programme.

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**Key Words:** Sustainability, Teacher Education, Identity, Education for Sustainability

### Introduction

Different research as well as the public voice in the world have been growingly speaking for a need to change our mind-sets for sustainability, the concept speaking for well-being of individuals, societies and the world in a holistic manner. Moore (2005) argues, referring to Fien (2002) that we should discuss sustainability as reconciliation of social justice, ecological integrity and the well-being of all living systems in our world. We can only agree with Cortese (2003:16) that in that case we need fundamental, transformative shift in thinking, values, and action by all society, in this case teacher educators.

Therefore, when we discuss sustainable development of human societies, we quickly come to the question of values, e.g. Ospina (2000:32) states that sustainability is not so much as scientific concept, but more of a moral precept. So, conveying certain values for the future generations is a matter for education and teachers to be dealt with. When **one central purpose of schooling and education could be supporting students to contribute to the development of a sustainable society, teacher candidates need to be prepared for that purpose (Babiuk & Falkenberg, 2010)**. Insights into student teachers evolving professional as well as personal identities are therefore focusing on student teachers personal philosophies regarding sustainability.

### Theoretical framework

Jennings (2008) summarizes the research from different authors that modern educational systems are reinforcing unsustainable lifestyles (Bowers, 1995; Cortese, 1999; Orr 2004-cited by Jennings 2008) pointing out that if we want to survive as human species we need to educate current and future generations to live sustainably.

When conceptualizing sustainability as a matter of values and responsibility we come to the question, what kind of educational systems are necessary to both focus on e.g. teacher education as well as schooling in a broader sense. The necessity to transform all levels of education is discussed by many authors e.g. Cortese (2003), who points out that we should move towards more integrated, interdisciplinary and co-operative thinking as opposed to our present approach which is fragmented and oriented to competition. Cortese (2003:17) rightfully reminds us, that higher education institutions have the responsibility to increase the awareness, knowledge, skills and values needed to create our sustainable future. Therefore, more holistic approach in educating future teachers for sustainability is needed. Huckle (1993) discusses challenges related to holistic approach on education for sustainability, bringing into attention the importance of interdisciplinarity between social and natural sciences which means that teacher identities should also be viewed as multiple, flexible and interacting in the context of different disciplines. A teacher in that case should not merely be a subject teacher but a conveyer of more holistic, interdisciplinary approach.

According to Bullough (1997: 21, referred to by Schepens et al 2009) there is no doubt about the role of teacher education in identity formation of beginning teachers: "Teacher identity – what beginning teachers believe about ..... self-as-a-teacher – is of vital concern to teacher education; it is the basis for meaning making and decision making". Teacher education must begin, therefore, by exploring the teaching self. There are different, yet similar definitions and conceptions of identity by different authors e.g. personal identity (Korthagen 2004) and self-understanding (Kelchtermans 2005). Mead (1934), the author of well-known concept of self, says that:

*Self arises in the process of social experience and activity, i.e. develops in the given individual as a result of his relations to that process as a whole and to other individuals within that process.*

(Mead 1934:135)

Jenkins similarly points out that:

*all human identities are by definition, social identities. Identifying ourselves or others, is a matter of meaning and meaning involves interaction: agreement and disagreement, convention and innovation, communication and negotiation... Identity is a practical accomplishment, a process that has internal and external dimension. Your external definition of me is an inexorable part of my internal definition of myself-even if I only reject or resist it- and vice versa*

(Jenkins 2004: 17,46, 47)

Research also shows that teacher identities are socially constructed and influenced by the process of existing social structures (Korostelina, 2007:16). Gee (2001) argues that identity is a way of behaving, acting, believing and understanding oneself and others in a meaningful way. In our changing world, where we have to re-define also teacher identities, Stibbe proposes (2011:88) instead of taking on a fixed disciplinary or professional identity, student teachers should develop more fluid identities that allow them the flexibility to respond to the changing conditions of the 21st century. Constant dialogue and interaction, both inner and with others, creates, according to some authors, new different aspects of identities, or multiple identities (Akkerman & Meijer, 2011).

Having reviewed research about teacher professional identity, Beijaard et al (2004:108) show that researchers conceptualize professional identity differently, investigating varying topics within the framework of teachers' professional identity and pursue a diversity of goals. After studying 22 selected studies on professional identity, they pointed out problems/questions related to the conceptualization of professional identity (pp. 124-125), which included the confusion about the concepts of „self“ and „identity“, too little attention paid to the influence of the context on professional identity formation, unclarity in defining features of teachers' professional identity. Beijaard et al (2004: 122) identified also four features as essential for professional identity and they suggested that they can be used as general framework in future research on teachers' professional identity. First, according to Beijaard et al (2004:122) professional identity is an ongoing, dynamic process, answering the question „Who am I now?“ but also the question „Who do I want to become?“. Second, professional identity implies both person and context, i.e. teachers differ in the way they deal with professional characteristics, depending how they value them. Third, teacher's

professional identity consists of interacting sub-identities. Fourth, agency is an important element of professional identity, teachers are active in this process. These features are forming a flexible framework how to look into different identities constructed by different student teachers, also for the purposes of the present research. In addition to the authors discussed above, Babiuk & Falkenberg (2010) give a recommendation that faculties of teacher education should make working with teacher candidates 'self (living sustainably) and professional identities (teaching and learning for sustainability) one of the central foci of their programmes.

To sum up, teacher identity can be conceptualized according to dialogical approach as simultaneously unitary and multiple, continuous and discontinuous, individual and social. Therefore, finding ways, how to support the development of evolving teacher identities, professional and personal, towards sustainability, is the aim of the present study and the framework proposed by Bejaard et al. (2004) is used for studying the construction and re-construction of student teachers identities.

### **Research methodology**

My research is guided by humanistic paradigm. Humanists believe that it is necessary to study the person as a whole, especially as an individual grows and develops over lifespan. The study of self is an area of particular interest, as a primary purpose of humanism could be described as the development of self-actualized, autonomous people in a co-operative, supportive environment (De Carvalho, 1991). Lamont (1965) has outlined 10 central propositions of humanist philosophy e.g. one of them stating that humanism believes that individuals attain the good life by combining personal growth and satisfaction with commitment to the welfare of the entire community. Although, my critique towards Lamont's statement that human beings have no conscious survival after death, remains because it excludes the notion of human spirituality and therefore a certain kind of „eternal“ responsibility for our future generations as well.

In the present research, I am guided by the methodology of transformative human inquiry (Reason, 1988) which derives from an understanding of the deep connectedness between people and nature as well as people and people. Choosing the methods for the research I considered, that language is a tool for emerging identity perceptions, through language the field of mind emerges (Mead, 1934:133, Vygotski 1978), therefore written and oral language is being investigated in narratives and interviews.

The present study focuses on the following questions:

- identifying conditions for constructing and re-constructing teacher identity during teacher education;
- identifying aspects of evolving teacher identity- personal philosophies and understandings-in the context of sustainable worldview;
- how should an interdisciplinary, holistic teacher education curriculum be designed? What pedagogical and structural changes should be made to teacher education programmes?

The sample consists of 9 student teachers of Tallinn University, initial teacher education programme to be studied over the period of 5 years of their studies to identify the changes that take place with regard to evolving teacher identities.

The participants were informed about ethical considerations, e.g. using coded names and the data only for a scientific purpose. As Gay et al. (2006) have adapted from Smith (1990) there are certain ethical guideposts to take into consideration in the qualitative research. Confidentiality, constructive and objective interpretation of data together with participants are among the guideposts for the present research.

The data collection methods include:

- open-ended questions, to collect background data, information about the family, school experience and understandings of an ideal teacher. The data was collected during entering teacher education;
- in-depth interviews, to investigate the personal philosophies of being a teacher, the feelings of mission, responsibility of a teacher. The interviews are taking the form of personal discussions, where interaction between the researcher and the interviewee is contributing to the openness and deepness of the data collection.
- written narratives, for collecting data about experience gathered during 5 years of studies in teacher education programmes

## Results

As the research is ongoing, only preliminary results can be discussed. The first set of data has been analysed, which included background information about student teachers, their feeling of mission and motivation to become a teacher and their vision of an ideal teacher. Two student teachers distinguished from the rest of the group, who expressed altruistic motifs to become a teacher stating that they feel a mission to „*make a world a better place...*“ (ST2), „*I feel I have to help my students to become better people...*“ (ST5). This indicates the existence of the broader understanding of a mission a teacher has, where he/she is not merely a conveyer of knowledge but a personal guide, who helps the student to become a better person and to contribute to the society as well. The same students also described the ideal teacher as a „*light in the dark..who is an example, a person with virtues*“ (ST5) and „*someone who could help me make right decisions in life, to raise above selfishness*“ (ST2). One of the students has also religious background. As in-depth interviews are yet to be conducted, it is too early in this stage of the research to reach to certain conclusions, although it seems of particular interest if the abovementioned two students outstand from the rest of the group after the analysing of interview data. Presumably, after two years of studie (when the interviews are conducted), student teachers are better able to articulate their personal teaching-learning philosophies as well as the essence of them being future teachers. During the interviews also teacher education curriculum will be discussed with student teachers, to identify what has supported the development of teacher identity during first years of studies.

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## THE INTERDISCIPLINAR EDUCATION CENTER (CENTRO DE FORMAÇÃO INTERDISCIPLINAR)

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### Abstract:

At the federal university of western par  - ufopa, brazil, the center for interdisciplinary education - cfi and the interdisciplinary education 1, at which students acquire during their first academic period, a general training of multi and interdisciplinary nature that meets knowledge to the world of reality reflected through the local reality. It is academic and citizenship offered by specific instance. Regarding the interdisciplinary training 1 - first component of the first general cycle interdisciplinary undergraduate - is based on knowledge articulated through five interdisciplinary modules, for which it produced a collection of modular books namely: logic, languages and communication - llc; origin and evolution of knowledge - oec; society, nature and development - snd; amazon integrative studies - eia, integrative seminars with interaction with a real base, sint / ibr. Through reading and studying these modules interdisciplinary students come into contact with a range of information, content and concepts that will guide their understanding of the amazon region of brazil and the world and establish a research and a scientific exploration to present in internal academic conference at oral communication and banners; since then the student may choose an academic course that will determine his entire professional career.

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**Key Words:** Interdisciplinarity, education, training, methodology, multidisciplinary

### Introduction:

The interdisciplinary education centre (cfi) is part, as an integral institute of the federal university of western para (ufopa), promotes and welcomes students, broadly, the interdisciplinary education 1, at which students acquire during the their first academic term, a general training of multi and interdisciplinary nature that meets the global knowledge of reality reflected through the local reality. It is academic and citizenship offered by specific instance - the interdisciplinary education centre (cfi).

Regarding the interdisciplinary education 1 of cfi, the first component of the first cycle, undergraduate general - is based on knowledge articulated through five interdisciplinary modules. These learning modules are: logic, languages and communication - llc; society, nature and development - snd; origin and evolution of knowledge - oec; integrative studies in the amazon - eia; seminars integrators - sint and interaction with a real base - ibr. These modules will be conducted by multidisciplinary teams working over the construction of interdisciplinary knowledge that comprise the curriculum of the courses of ufopa, always having the technological mediation appropriate to the purposes of curriculum integration, allowing permanent access to course content. Exclusive teaching materials will be used, with unpublished texts, produced by local expressive authors. They learn at the introduction to "study the science" of their subjects, offering also critical discussions, organized in each of the aforementioned disciplinary modules.

This organization is part of the rationale that if you want to give this cycle curriculum: beginning at the time of a first semester, concurrently with knowledge of philosophy and scientific methodology and the factors involved in development issues and its relations with society and nature, especially oriented integrative studies of the amazon, the students, based on the principles of logic and semiotics, the science of symbols and representations should also develop skills in communication through languages, portuguese language and mathematics, which should expand to more specific aspects of scientific writing, statistics and initial knowledge about the information and communication technologies (tics), as fundamental today.

Thus, from the understanding of the importance of signs and representations that semiotics brings us to the meaning of language, gestures, verbal or written communication in general between living beings, we enter the principles of formal logic, essential for development any cognitive process, especially the scientific basis. Two languages will be developed in this early study in ufopa: the most basic fundamentals of mathematics that will enable the student, if appropriate, will develop deeper knowledge in this area as structuring knowledge, especially for the more empirical sciences, as well as instrumental bases for a good expression in portuguese, especially writing. It is also essential that the student acquire knowledge more generic ufopa on information and communication technologies (tics) as they are the basis of a qualified life from the point of view of some domain information in these current times. We know how important it is that the student, if it proves to be of interest, develop skills to deal specifically with the technology available in their world.

**Main text:**

The sequence of studies, the interdisciplinary education starts with the module logic, languages and communication who happens to be complemented by introductory studies in statistics and acquiring some competence for writing academic-scientific texts, hence the module to be completed with the unit teaching guidance on methodology: basic guidelines for project preparation, standardization and bibliographic aid in the writing, a presentation to the principles and standards of written communication for the sciences, which is already being developed by the students with the presentation of written texts throughout their university course.

With that, we hope, to begin more specific steps in its course ufopa, students, trained in the most universal languages, already have a good preparation for communication throughout their experiences, whether they are academic or not. We are imbued with the desire to concentrate on complex issues that require an interdisciplinary approach each other and so that we can avail ourselves of various sciences, we need to create a set of rules and attitudes toward research, to select information, analyze it, synthesize them, argue and counter-argue, negotiate meanings, cooperate so that we can participate in the social world, including therein citizenship, work and higher studies. We seek an answer to the following demand: "objectify such as interdisciplinary skills without a systematic and organized with the logic, language and communication?».

Initially, we will focus on "language". The language has been studied philosophy, psychology, sociology, epistemology, history, semiotics, linguistics, anthropology, archaeology. At the moment we are studying the language, we realize that it is interdisciplinary, but for that, we consider them as the human ability to articulate meaning in arbitrary systems of representation, which vary according to the needs and experiences of life in society. Therefore, the main reason of any act of language is the production of meaning.

Historically, research on language suggest that it is a social phenomenon, a 'primary reality', once assimilated, involves individuals and causes mental structures, emotional and perceptual are regulated by its symbolism. Given this understanding of the arbitrariness of language can allow us to see ourselves themselves and the world, as well as the classifications that are absorbable by our cognition.

Thus, we have a summary of research areas semiological offering the researcher an overview of the lines in which the semiotic acts and their contributions to communication studies. Further, the subject 'formal logic' present succinctly the logic as a general theory and on formal notions of deductive consequence and consistency, and these notions derived (equivalence). We realize that the first-order logic to deal with these notions only formal language of first order and a formal language that is first order, from the point of view of their logical semantics, the fields of its possible interpretations are fields to which individuals belong only and if, from the point of view of their logical syntax, quantifiers bind only to the individual variables.

The following "elementary mathematics" will show that the positions of analytical logic would be the foundation on which mathematical knowledge could be justified, or knowledge would be the court's reasoning combinatorial synthetic rather than analytical character of the laws of logic, or also, the mathematical knowledge does not need a foundation exogenous, since the mathematical activity has the immediacy of intuitive evidence kantian time.

Let us dwell on the study of portuguese as a language and method of analytical thinking in order to understand the text, which does not always prove discursive the strategies and resources used to say something, the more we realize that conceal the truth or reality, so as for knowledge of information and communication technologies (tic) we seek to understand the principles of these techniques and technologies, associate them with scientific knowledge, the languages that support them and the problems they purport to solve, either through statistics, or through the scientific methodology.

Module interdisciplinary society, nature and development addresses issues related to these topics in three major themes: power, state and society, development and environment, and cultural diversity. Thus, these texts provide the essentials for the new students in ufopa start building a general framework regarding the area of knowledge through an analytical reading that students do throughout the school year. The theme development and environment discusses the concept of developing and presenting a history of the views and proposals of various authors on the subject, starting from the period in which they are built the foundations of this concept (the enlightenment), to discuss the emergence of academic debate on the issue, circa 1930s, discussions in north america and europe in the 1940s on the advanced economies, the great controversy of the 1950s and 1960s on the development models, centered on eclac (economic commission for latin america), and growth from the 1960s, the debate about environmental preservation, which contributed to the construction of the concept of sustainable development, fundamental today. It addresses the following issues of ethical development and appreciation of traditional knowledge about nature (indians, maroons, locals, fishermen and others), highlighting the contribution of anthropology to the debate about the latter. Then discusses the various notions of 'nature' that mediate the discussion on the relationship between society and the environment today, the significance of the amazon in the international context, forms of economic exploitation that prevailed in that territory (livestock, timber, soybeans, mining ) from the 1970s, their relations with deforestation and subsequent institutionalization of environmental concerns, which becomes the object of public policies and international agreements. The interdisciplinary theme "social conflicts in brazil in the early republican period," deals with the major social conflicts occurred during the period of the first republic, the countryside and the city, bringing thus some important references for understanding the formation of brazilian society. To discuss labor relations in urban areas and on issues related to the creation of worker rights, emphasizes the organization of the working class and goes beyond the historical period stated in the title, with considerations on the subsequent period marked by the figure of getulio. With a historical approach, are discussed: the war of canudos: the vaccine revolt, the contested war, and the revolt of the whip. These are conflicts that were closely related to the consolidation of political and social order and republican brazil with the emphasis at the time the notions of modernity and progress. Other references of importance for the study of brazilian reality is provided by interdisciplinary theme "geography of brazil", which addresses the vocation of interdisciplinary areas of history and geography, for issues relating to transformation of geographical space are presented by them in historical perspective. At the beginning of his presentation addressing the colonial period, discussing the relationship between territorial expansion, ownership / occupation of land and the establishment of power relations. Further, touching on issues such as the reconfiguration of space structures caused by the transition from agro-export model for the urban industrial relations with the changes in the territorial division of labor and the state apparatus in the twentieth century, introduce the concept of semi-periphery, discuss the formation of supranational economic blocks such as mercosur and the territorial diversity of the brazilian territory, especially in the amazon context. The interdisciplinary theme of "science economics: elements of an introductory overview", make a brief introduction to economic science. Previously indicate their connections to the spheres of power relations and ideology. Present ideas and concepts relevant to this matter, as the ideas of balance and efficiency, and expose the proper method of study in economics. The interdisciplinary theme "ethics, society and citizenship", put in historical perspective the idea of citizenship, exposing his concept in classical antiquity (greece and rome) and after the bourgeois revolutions, emphasizing the importance of the concept of the public to the idea of citizenship with an overview of the differences between this concept and the state. For this, we take as example the public school and traveled briefly along the path of classical reflections on the modern state, from machiavelli to marx. The interdisciplinary topic

"biocultural diversity: conversations on anthropology (s) in the amazon," has as its guiding idea of the emphasis on diversity, applied to the human species. Explains why it is not valid concept of race - and follow the evolutionary trajectory of hominids, since its emergence in africa until the appearance, in the same continent, the current human species. Also provide information about archeology, emphasizing the importance of science, along with anthropology, the study of amazonian peoples.

Upon completing this module interdisciplinary, student-reader will have made contact with a large number of questions, which can enrich the set of references that already has. The information presented here and also invite inquiries for continuous deepening the topics discussed, the reader will certainly feel encouraged as you look through the texts.

The interdisciplinary topic origin and evolution of knowledge - oec base the philosophical approach to the development of scientific thought to the amazon and, therefore, in the word "origin, evolution, and knowledge." when speaking of "origin" in etymology, the greek language proposes ways. Arkhe the prefix, "origin" is taken as the starting point of knowledge (episteme). Believe it or not, the important thing is not to think about the "origin" as absolute truth, but as a historical construction of thinkers in their respective contexts, always in search of the truth, whatever it may be. So do not think that "evolution" is necessarily a passage from worst to best, as if the past had no more to teach future generations. The "evolution" contemplates successive manifestations of thought over time. Many of these are continuities, others oppositions toward their predecessors. That is, why even inquire the writings of homer, hesiod, parmenides of elea, plato, aristotle, aurelius augustine, aquinas, copernicus, descartes, galileo galilei, isaac newton, sören kierkegaard, albert einstein, cesar lattes , milton santos and many others recognized international or national wisdom lies in the following fact: they still bring us all questions, aporias, paradoxes, problems of knowledge that encourage us to think about today, the past and future in a course without pretensions finalization. For this to account for a range of thinkers, scientists can baste the history of science in its various hues, philosophy of science, epistemology and methodology, you will find elements to discuss pressing issues and current of western thought. Here, power would ask: why not present the same texts of their respective thinkers? Thinking about it, the respected writers of texts module interdisciplinary origin and evolution of knowledge presented at the end of their approaches sufficient references to start a search with commitment and rigor. It is important to note that a written form not from answers but questions. To that end, students should readers take as guidance the answers do not usually found in texts pamphleteers, religious, commercial or political. That is, you have your hands on texts that purport to put some issues on the table and invite them to a dialogue in which the only scope is to bring them to a philosophical debate, both for teaching, research is focused on , and thus extend the fruits to their peers near and far. The philosophy is more geared towards a knowledge that builds hard, dedication which often requires us too. Dedication that we find in the manual work of artisans in the composition of our narratives. That is, it is not restricted to the separation between intellectual and manual labor, as advocated by karl marx and friedrich engels in theses on feuerbach (marx and engels, 1998): "the philosophers have only interpreted the world in various ways; than if it is to transform it. " not only philosophers, but everyone participated and continue to participate in changing the world, ever, each in their own way. It is important to note here, mainly because the knowledge is not confined to the walls of the school formal institution, he constantly produces everywhere, whether in a casual conversation at the bar, on the porch, within a market or even the soliloquies pillow. That is, everyone thinks the world and make their own way in its locus, tops, niche, community, ethnic group, social group, be it where you are, whether in big cities or even in the far reaches of communication, external to the universe digital. Is still interesting to note that there is a near consensus among historians of thought in stating that the origin and evolution of knowledge or, in other words, the famous "greek miracle" occurred from a breakup or astonishment (aristotle, 1969) between logos (thought, language, speech, study, reason, concept, reasoning, among other interpretations) and doxa (opinion, common sense) as the last element of intuitive was not already contained in the first. Now doxa also composes myth, orality, plot, principle, and there is no logos mythical intuition, and vice versa: no myth without conceptualization logic, mainly because intuition is to see, do with reason (cf. Jaeger, 1989). God (teos) is the one who sees everything, omnipresence, omniscience essential to (from latin omni: all, all). We did not observe and understand the world without contaminating it with our culture. Take into account it is very important to approach the other (alter). Note that the conflitarmos is constantly

with the other, from the first moments, inside and outside the womb, that we constitute ourselves as subjects (Lacan, 1998). That is, our identity is a social construct not a metaphysical entity, independent of our historical context. And the audience is social, the other, a construction of all. Nothing strange and distant to us than the Brazilian Amazon and its rich cultural miscegenation of all national and international looks, hungry discover it to such an extent that threaten, in an attempt to tame it, transforming culturally its inhabitants with values globalized (religion, money, politics, sexuality, monoculture) and therefore condemn it to a slow death, the account-drop. Far from a blind jingoism, reflecting on economic powers, we must rethink our country from Amazon, and taking as a point of comparison the destinies of our large cities, their wounds: flood, drought, traffic, pollution, hunger, poverty, epidemics, among other ills. That is, it is up to each of us to make this book a weapon of thinking and acting clearly ethical and always willing to dialogue, which does not proceed to the flow of our idiosyncrasies ego, but with the additional views and division of what we understand as sensible wisdom, lucid and critical above all. For this, it is necessary to go through the history of thought, from the questioning of myths to the sophisticated technology of today, and realize that the critical path, as the myths of power (science - know-how - and politics - praxis) have not been strong enough to overthrow the traditional knowledge ingrained in our way of speaking, look, listen and think. The module interdisciplinary origin and evolution of knowledge promotes, through texts, beyond the philosophical-scientific self-referral of the proposed approach, the historical contextualization. For this, we first reading of history and philosophy of science, weaving relations between philosophy and science. In the second phase, introduction to philosophy, part of the broad and narrow meanings given to philosophy, logic and ethics. This is an effort to expose the process of building critical of western thought from the notion of judgment with a view to understanding its various forms - gifts in ethics, aesthetics, science and the rules that control human activities. The third, philosophy, politics and society, joined into the intricate relationship between thinking / philosophical practice and social institutions, thus promoting the interdisciplinary challenge cycle training general ufopa, whose main scope is to build dialogue between instances of thinking in different areas of knowledge. Anyway, in philosophy of science and epistemology elements and history of science have specific approaches of scientific speculations, such as questions of verifiability, induction, falsification, paradigm, among others. Questions and borderline guys to practice and scientific thinking, which is essential to show we enter the traditional reading of knowledge: concepts and definitions, Tony Braga, in which text highlights that scientific research can not go back to the wisdom built locally although this is distinct in relation to methods and models paradigmatic academic and technological. Despite the differences, the traditional knowledge achieves goals that are nonetheless similarities with the store facing the sciences. The importance of traditional knowledge is the fact that it is used as a local search tool that allows us to understand the world, or as a shortcut to produce scientific knowledge, or supplement it from popular tips. That is, we must break the space-academic institutions and promote rapprochement with the seemingly distant cultures of our daily critical and practical.

The academic focus is to provide initial conditions for a good scientific training to the student entrant in relevant dialogue with the teacher, which includes knowledge of scientific methodology guidelines, conditions necessary to encourage dialogue knowledge of philosophical, scientific and local / traditional especially in the Amazon region.

Module interdisciplinary studies in integrative Amazon - EIA covers a broad spectrum of knowledge formation on Amazon since its "discovery" until recent days, when the objects of study of "science" is no longer the mere functioning of ecosystems natural and bodies that inhabit them, and began to consider the presence of the human being as the great agent of change. The first topic presented shows that our scientific story begins with the arrival of the Europeans, who brought with clerks, responsible for detailed description of the riches to be exploited in the region. Even if the intention was not that the work of the clerks gave the kickoff for the formation of scientific knowledge about the Amazon. Still makes mention of natural and cultural assets in the region, as well as the problems arising from the exploitation of these riches at different times in our history. Then, on the theme "the geological formation of the Amazon," Ronaldo Mendes makes us understand the incredible changes in the landscapes of Amazonia occurred in a few billion years of history. The perspective of geologic time scale shows that, although there have always been a huge momentum in

the region, is the disproportionate rate at which changes occur arising from the action of man, and nothing can compare to it in the period preceding its emergence. The module itself is of amazonian environments themselves, their main characteristics, interactions and ecological relationships between them. We emphasize that the observed features in the amazon biome suffered and suffer the effects of recent anthropogenic. In the interdisciplinary theme "the history of interaction between men and environment at amazon," portrayed the occupation of the amazon territory since pre-colonial times to the present day. Easy to read, the text leads us to imagine how the populations overlapped each other, and mostly makes us realize the differences between these populations with regard to the impacts of their occupation on the environment. After reading this, the reader will surely ask: how was it possible in the past the survival of a huge indian population in this region, leaving as few marks on the environment when compared to the developmental model encouraged by governments in recent decades? In "globalization of the amazon: riches and interests", the amazon region is viewed from the perspective of international interest. Even after centuries of exploitation, amazon still has a huge diversity of natural resources (some of them not yet revealed), so it was inevitable that this region appeared on the world stage as one of its most important icons. Be motivated by the need to meet the demand for natural resources or the growing desire to preserve them, brazil plays an important role in this scenario, with the challenge to reconcile these two aspects. Finally, the interdisciplinary theme "social conflicts in the amazon", comes the issue of conflict as the result of the occupation of the region and the differences between social groups involved in this process. The text shows that the solution to the conflicts in the region depends on the development model applied in the country, nay, the results of this model. If the results favor the reduction of social inequalities, conflicts certainly decrease at the same rate.

For the closing of this acquisition phase of interdisciplinary knowledge, students are grouped in "seminars integrators" with the aim of gathering information and knowledge, according to the academic interests of the students, this approach will be on the integration of knowledge in the penalty area education and its relations with other areas of knowledge. The themes for this program must address: education for the twenty-first century; education in brazil; interdisciplinarity in education, education, science & technology, environmental education, education & healthcare, education & culture, education in the amazon, including considering the different conditions (city field floodplain) and the community school of the student-teacher. At the end of that time, students and teachers should prepare a field survey, an interaction with a real base - ibr, to integrate the theoretical knowledge to a crop of local reality, whether in rural or urban areas, in order to participate in study introductory that reality under the guidance of teachers. Express and disseminate the study to the community, whether academic or not through an integrated extension to community action. Attend the scientific closure of the first half, when the work will be presented through oral communication and banners.

### **Conclusion:**

Preparing students - and in anticipation, his teacher - to understand and know how to use that knowledge advances brought to its survival and better quality of life implies someone decides that they know how to organize their thoughts and expressions through logic and rationality communicative and that this will have decisive interference in their ability to study and learn about the world in which he lives. This is the purpose that we should be able to print in our process of development of human resources in higher education, especially teachers, to be able to understand and apply the relationship between what they are studying philosophies, methodologies, science, semiotics, and logic languages, portuguese and initially elementary mathematics and its applications, eg, a descriptive statistics, and knowing seize the advantages of technology for communications that might establish. It brings together well we have to equate between modules oec and llc.

The fundamentals, the original roots of our rationality and narratives are in philosophy and its influence on scientific thinking that humans develop knowledge about the world in which he lives. Through elementary logic is that all this will be structured rationality and express themselves to their peers, through the languages that adopt. All this will be mediated by symbols that developed and we can understand better with some knowledge of semiotics for us teachers, not necessarily as a subject area to be covered by primary but essential for teacher training. However, we also need to understand the limitations and applications of this form of rational knowledge over other forms of knowledge, as

varied between societies and individuals seemingly simplest, but often develop extremely complex knowledge. This dimension of other knowledge, knowledge of more natural, popular and strong ethnic base, we also need to develop in our analysis and teaching materials and we did not even from there maybe we can penetrate more easily into the realm of humanities and social sciences and the relationships that have come with the natural sciences, in order to build - more effectively - the relations between human beings, their cultures and environments that interest us both in the amazon and in the world today!

A second level of abstraction utility interdisciplinary education 1 (f1) of the cfi: philosophies and languages to knowledge about the realities, especially amazon (or, oec and even snd, llc and eia). The "second level of abstraction of interdisciplinary interest" for f1 in cfi: the foundations of human thought and knowledge for developing dialogue between the natural and social sciences. The fact is that we insist on scientific reflection between nature and culture, through the academic contribution, collaborate in achieving harmony between them, without which as the main issues facing the world today, almost all anthropogenic in nature and resulting in large problems that need to be overcome, lest our self-destruction. The greatest difficulty is to achieve some level of dialogue between the natural sciences and social and human as their methodological and scientific bases are very different: the first in an empirical tradition very experimental, the second basic ethnographic methodology. Surely a more thorough synthesis between them is not easy, but neither is it impossible. We must accustom ourselves to dialogue overcoming differences diachronic and synchronic reaching the similarities that can be achieved on the basis of common themes, projects, cooperative and collaborative facing the same problems. It is as if we had experts (their science) with her two two instruments (the methodology of each) to look at the same phenomenon (the specific problem) and present together (the team) the solution for a given situation. From careful observation of both, there will be moments in the same case in which the contribution more scientific empiricist offer good prospects for a greater understanding of the problem, there will be times when this can only be obtained through interviews, questionnaires or living in deep within the community. Not every one is "talking to you", but "both talking about something," the theme, design or common problem that has ... The task is even much simpler when we think of the amazon and the problems it presents. After all, aspects such as uncontrolled migration, the uncontrolled growth of cities, deforestation, forest fires, finally, all sorts of human and environmental degradation we have seen, of various types and causes, closely related to human beings and their societies with the environment in which live, what makes these sciences should provide some level of integration. In the case of f1, it is sought by both the snd module - the theoretical and methodological bases more universal - as eia, knowledge facing the region. Sint already presents what is most common among them, integrating the sciences of responsibility of each academic unit. Finally, in the case of ufopa, there is the second interdisciplinary training (f2), where the level of interdisciplinarity being developed now is more focused in different areas of the same large area of knowledge, that specific one of their own institutes, what exactly are themed to better foster the interdisciplinary approach.

It is possible, necessary and useful that ufopa, the center for interdisciplinary education can develop an academic policy, expressed by their structures, curricula and integrated programs of teaching, research and outreach focused on the interdisciplinary approach.

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## THE MAKING OF DIGITAL STORYTELLING AS A TOOL FOR PROMOTING THE LEARNING PROCESS IN THE CLASSROOM

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### Abstract:

This paper is the product of the reflexive work carried out during my academic interaction with college students, where I have incorporated the Information and Communication Technologies (ICT) as a way to foster students' expression and creativity. This is part of a research project that works on the mode of action research and which aims at exploring and understanding college students' inner life through digital storytelling, as a means to construct meaning inside the classroom.

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**Key Words:** Digital storytelling, learning, classroom

*How to produce innovative images and untold stories? How should they be?  
As those stories are untold yet, the answers will derive from making use of communication.*

Omar Rincón.

### Introduction

It is a well-known fact that nowadays young people produce and create their own messages through ICT. This ability to produce diverse digital products is what Castells has coined as mass self-communication (2009). College students' digital storytelling is an essential means of communication used to express their points of view and to establish on-line communication with others in their everyday life, which is something fundamental for their participation in social and political life in times when sending and receiving messages has become an immediate and endless activity.

Despite of what has been mentioned above, it seems that inside the classroom there is no such communicative function. Students' proficiency in using ICT is denied, or at least it is not officially recognized. Thus, in broad terms, communications technology is neither fostered by teachers nor by schools seeing that, according to Ignacio Pozo (Cfr. 2009), college education is still centered on discourse and speech.

Storytelling is a way to construct meaning through the overt use of imagination, which in turn fills the gaps in students' learning, in order to articulate diverse content that is expressed in the constitution of an original and meaningful organizing structure. Hence the importance of storytelling, as it reinforces a particular section from the syllabus and at the same time allows students to freely express themselves through a digital production.

It is fundamental to emphasize the importance of storytelling, that is to say, the making of sense that students build up, articulating each individual's imagination with collective imagination by means of team work.

The type of digital storytelling that is considered in the present paper implies creating a digital material, either a photo sequence, a recording (which can be an audio book, a radio serial, a news report, a news bulletin, etc.) or even the making of an audio-visual production or a video (with a usual length of 3 to 10 minutes).

The central point of this paper is a reflection upon different learning approaches (appropriation modes) through the use of ICT, where there is a blended integration of reason and subjectivity, and where students' experiences have a privileged place, their worries, their hopes, their wishes, their fantasies, and this meaningful complex is the basis of the construction of meaning, and thus, it becomes the learning process itself.

The pedagogical proposal that we hold here has to do with moving from the teacher's central role to the experience of students' self-communication in the classroom. Our scheme lies on fostering college students' productive skills, to have them turn into self-communicators inside the classroom, through the teacher's design of activities that incorporate the use of ICT to the syllabus content by means of the production of digital storytelling. It is worth mentioning that in order to create stories, students need to write a script in teams. This collective production requires a reflexive process that can be inter-subjective, that is, the relationship established between peers, and intra-subjective, or the relation with the self. Both have an effect on imagination and the construction of meaning through the interaction of individual and collective work.

There is a traditional image of professors guiding the teaching-learning process that makes it difficult to be aware that as teachers we are not in charge of producing materials or directing the style, the form and content of the materials students produce. Along this teacher-oriented vision there is no place for students' practice for self-communication and the use of ICT, there is neither space for storytelling to become the guiding principle of the learning process. Such a pedagogical proposal lies on the fact that teachers, in a deliberate way, and after programming the task or design of the storytelling class, have to restrict themselves to being a guide or a mere coordinator whose only goal is to promote the planning of the script and to have a reflexive attitude towards it for its later implementation.

It is essential to make it clear that teachers will deliberately have a secondary role, as they will not control the content of the script and will respect the group's independence at all times. The teacher's role is that of nurturing creative and productive work, which in turn will allow for manifold perspectives, trying out different planes and angles, in the case of pictures or audiovisual expression, and as for aural expression, teachers should care about the different voice expressions, styles, effects, the use of silence, which are all part of the aural or language universe.

A very important aspect in the making of a script is that its planning should be based on the aural, visual and audiovisual communication, according to each particular case. Otherwise, a planned reflexive work around digital storytelling would never be done.

This proposal is based on the difference that Pozo (2009) pointed out between knowing how-to-say things and knowing how-to-do them. The making of digital storytelling is framed in the knowing of the how-to-do, it implies an inner process of articulating through imagination, knowledge and content that eventually will turn into a story. In the creation of a digital story the knowing of how-to-say things is involved, yet it is a type of knowledge that is expressed in pictures, sounds or a combination of both, which necessarily implies the incorporation of the subjective in an intentional way, emotions and feelings in close relationship with their social context, as this is a work that has been planned to be done in teamwork. Similarly, the how-to-do is closely linked to generating an original work around a certain thematic content on a digital story (aural, photo sequence or video).

Digital storytelling is based on comprehensive knowledge:

- a) "To comprehend something means in a way to say something in your own words and with your own ideas" (Pozo and Mateos, 2009, p.34), so transferring concepts and ideas to visual or aural representations, or both, promotes the construction of meaning to the learner.
- b) "If we want students to manage their own learning, we have to make them more and more independent when it comes to making decisions about learning, so that they can plan, supervise and evaluate their own development" (Pozo and Mateos, 2009:63). According to what has been said, the presentation of digital storytelling is done with the whole group. The first stage is to analyze and evaluate the work in a critical way by all the students who did not participate in the specific storytelling project, that is, for those who are spectators; then, the second stage is to do the same with those students directly involved in the making of the storytelling. The rationale of this reflexive stage is that of avoiding interference on the interpretation and reception of the story. Eventually, authors and spectators are involved in the discussion and reflection about the story.

The collective discussion has a fundamental role in the critical evaluation of the digital stories where students have a central role, which allows them to become aware of their

own narrative work and to understand the interplay between the particular and the social context.

- c) “If we want students to develop autonomy and control over their own learning, we as teachers need to let go most of our power” (Pozo and Mateos, 2009: 64).

It is necessary to break with the traditional hierarchy established inside schools and to become facilitators and coordinators of a process where students have control over their own learning process.

## Conclusion

Despite the institutionalized learning processes, it is possible to generate changes and new teaching practices that shall turn the teaching-learning process into an imaginative and ludic exercise with the help of ICT.

Teachers have to step down from their empowerment place in order to become “liberal” guides, promoters and coordinators of independent study, where students have to develop a central role, where they become self-managers of their own learning, and the only way to build this up is by expressing themselves in an individual and collective way. In conclusion, digital stories will have a fundamental role in the construction of meaning.

It is important to give feedback to students so as to go beyond the classroom and as far as possible, by means of having students present their work to other students and to other schools, or at least, teachers can show their work to different students in order to promote reflection inside the classroom. Obviously, uploading their work on the internet goes without saying, as it is something that students do intensively and extensively with ICT in their everyday lives.

It is of the utmost importance to foster creative processes, that is, the incorporation of imagination as a vital element in students’ production and to acknowledge that, the construction of knowledge requires without a doubt the presence of imagination as a driving force that enhances creativity.

Digital storytelling promotes and multiplies the ways in which we see, listen, read, write, signify, relate and, above all, become aware of the innate capacity for creativity common to each and every human being, and which is not an exclusive attribute of what is traditionally called an *artist*.

College students have learnt and incorporated the use of ICT and they show it by using them in their digital stories through photos, sounds and audiovisuals, which makes students feel proud, since they perform a double function: they learn and have fun at the same time.

Similarly, it is important to say that digital story making for the construction of meaning implies a new way of conceptualizing knowledge, as Pozo and Mateos (2009) truly stated it, in which students become their own learning managers, through an intra-subjective and inter-subjective process, by sharing interpretations and displacing individual subjects as the sole creators of meaning. In this pedagogical proposal we highlight the singularity and originality of the narrative stories, where it is evident that there is not a sole outcome towards which we will inevitably arrive.

Finally, there is a growing need for avoiding the fossilization of models and institutional roles in order to generate new schooling proposals to meet the needs, characteristics and interests of students so that we can start to explore new ways based on our cultural heritage, and the special characteristics inherent to us and that require the shaping force of human creativity: “it is not what there is, but what could and should exist, what is demanded from us” (Castoriadis, 1989:99).

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## LITERACY IN EARLY CHILDHOOD: IMPLICATIONS FOR SUSTAINABLE DEVELOPMENT

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### Abstract:

The study examined literacy in early childhood and its implications on personal development as well as community development. The study was carried out in Ado Local Government area of Ekiti state and making use of 100 respondents. Questionnaire items tagged, “literacy in early childhood” was used to elicit responses from the subjects. The responses were subjected to frequency counts and percentages. The study revealed that children from high socio economic background have better opportunity of being literate earlier than children from poverty ridden homes who would not be exposed to literate friendly environment. It was also discovered that being literate early in life would lead to personal development helping them to contribute not only to their personal development but also their communities. The study recommended that children should be exposed to literacy skills early in life and those literacy activities that are effective in improving and developing literacy skills such as shared reading, recitation of rhymes, and songs should be taught to children.

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**Key Words:** Early Childhood Education, Literacy, Communication, School Dropout, Reading Levels, Literacy Promoting Environment

### Introduction

According to UNESCO, early childhood education is defined as the period from birth to eight years old. It is a time of remarkable brain development. These years lay the foundation for subsequent learning. Early childhood education programmes include any type of educational programme that serves children in the school years and it is designed to improve later school performance. Early childhood education also refers to the teaching of young children by people outside the family or in setting outside the home, the age of which is usually defined by most nations as before the age of normal schooling while the U.S. National Association for the Education of young Children defines it as before the age of eight ([www.wikipedia.org/early\\_childhood\\_education](http://www.wikipedia.org/early_childhood_education))

As good as the above definition is, it places more emphasis on children being taught by people outside the home or family whereas if children are to be well grounded in the issue of literacy, efforts of the home must be given great emphasis since parents are the first and best teachers of children (Early Years Framework, Scottish Government 2008 [www.wikipedia.org/early\\_childhood\\_education](http://www.wikipedia.org/early_childhood_education))

Early childhood education is one of the best investments any nation can make and in making this effort, literacy in early childhood must not be side tracked because literacy is one of the most important foundations for success in school and life (ABS, 2006) (Same as above)

American medical Association (AMA), 1999, Baker, 1999, Rowe and Rowe, 1999) all believe that the printed text that represents spoken language which implies being literate, does not develop as a matter of course but with concerted effort. Literacy has been variously defined as the ability to read and write to a competent level ([www.bing.com/Dictionary/search](http://www.bing.com/Dictionary/search)). This definition of literacy is quite different from its definition of having knowledge or competence in a subject or area of activity like when one refers to “computer literacy”. In a wider perspective, literacy is the ability to read for knowledge and write coherently and think critically about the written word. Literacy can also include the ability to understand all forms of communication be it body language, pictures, video or sound. Literacy therefore represents the lifelong, intellectual process of gaining meaning from print ([www.wikipedia.org/wiki/literacy](http://www.wikipedia.org/wiki/literacy)).

UNESCO defines literacy as the ability to identify, understand, interpret, create, communicate and compute using printed and written materials associated with varying contents. It involves a continuum of learning in enabling individuals to achieve their goals to develop their knowledge and potentials and to participate fully in their Community and wider Society (“The Plurality of Literacy and its Implications for Policies and Programs”, UNESCO Education Sector, Position Paper 13 ([www.wikipedia.org/wiki/literacy](http://www.wikipedia.org/wiki/literacy)). 26-6-12)

Key to all literacy is reading development which involves the ability to understand spoken words and decode written words and culminates in the deep understanding of the text. If literacy is as important as described above, then it must not be taken with levity, children need to be taught to read very early in life as the saying goes “Catch them Young”. The building block of literacy must therefore begin from infancy and thus they can learn through day to day activities which expose babies and toddlers to sounds, words, speech and print. Before programmes in childhood education will be effective in promoting the learning and development of young children, literacy in early childhood must be focused as this will lead to early childhood education producing significant gains in the future for children and the society.

Silverstein (et.al 2002), believes that a poor foundation in literacy prior to school entry not only reduces the likelihood of later success in literacy but also increases the risk of dropping out of formal education. Poor reading and writing skills are associated with lower self esteem, poorer education and social outcomes. All these are linked with high rates of unemployment, welfare dependence and teenage pregnancy (Silverstein et.al, 2002).

Freebody and Ludwig, 1995, Weedlman, et.al, 1991, all stated that reading difficulties are mostly found in children from disadvantaged homes and Stanoritch (1986) believed that those children who experience difficulties in learning to read are not likely to catch up in school work. The American Medical Association (AMA,1999) also believes that poor reading levels also impact negatively on individual’s health (AMA, 1999). Ineffective use of literacy skills can eventually lead to a perpetuation of poverty cycle. It was researched that children from literate homes have been found to do well in reading in later years and such tend to thrive and grow academically (Literacy in Early Childhood in [www.emplibary/ccch:/PB13\\_Literacy\\_Earlychildhood](http://www.emplibary/ccch:/PB13_Literacy_Earlychildhood)).

A successful transition from pre-literacy to literacy would be based on a number of factors such as:

- ❖ Language ability.
- ❖ Speaking, listening, and understanding and comprehension of the narrative stories and conversations the children are exposed to.
- ❖ Letter identification/knowledge.
- ❖ Phonological awareness/sensitivity.
- ❖ Conventions of print i.e. understanding the basic concept of reading – left to right or top to bottom etc. (Whitehurst, Lonigan, 2001).
- ❖ Literacy – Promoting environment (keeping books in the home, helping children to read at home etc.)

With the above stated factors, the burden of developing early literacy in children is not that of teachers in formal school alone. The responsibility should be shared among the families’ caregivers, early years’ teachers and real later years’ teachers. All these people not only facilitate literacy skills in children but their activities determine the attitude of children to words and reading in life (Evan et. al, 2000, Rickleman and Henk 1991).

The role parents/families would play in entrenching literacy culture into their children will depend on their level of interaction with them, their level of education and their socio-economic status (Arnold & Doctoroff, 2003, Flouri & Bucharian, 2003, 2004). This implies that literate parents and those that are well off or those that are average socio-economically have a better chance of providing their children with necessary materials that would aid reading in early years. Things like interesting books for children, cartoons, either in book or CD forms could aid early literacy in children. The implication of this is that children from poor homes may not have access to the above facilities and thus may not be well affirmed in reading as those of their counterparts from enlightened homes and literacy promoting environments.

The Purpose of the study therefore is to examine whether early childhood literacy has anything to do with later years academic performance and also to examine whether being literate will help individuals in later years to be developed in terms of their knowledge and potentials thereby aiding them to participate in their Community and wider society, by way of interacting and contributing in the literate society.

### Statement of the problem

The problem being tackled was wound around these questions.

- a) What is the effect of socio-economic background of parents on literacy development in early years?
- b) What is the effect of literacy in early childhood on personal and community development?

### Methodology

The study is a descriptive study of survey type. The population for the study consists of male and female residents of Ado Local Government, Ekiti State. The sample size of 100 respondents was randomly picked from businessmen, teachers and civil servants in the local government under study. The instrument used for the study was questionnaire tagged "literacy in early childhood". The results obtained were analysed using frequency counts and percentages.

**Table 1: Frequency table on Sex**

	Frequency	Percent	Valid Percent	Cumulative percent
Male	47	47.0	47.0	47.0
Female	53	53.0	57.0	53.0
<b>Total</b>	<b>100</b>	<b>100.0</b>	<b>100.0</b>	

Table 1 shows that 47 male and 53 female respondents were used for the study.

**Table 2: Frequency table on Occupation+**

	Frequency	Percent	Valid Percent	Cumulative percent
Business	27	27	30	30.0
Civil Servant	35	35	36.6	36.6
Teacher	38	38	33.3	33.3
Total	100	100.0	100.0	

Table 2 shows distribution by occupation. The study made use of literate adults in the above professions. In the business field 27 respondents were randomly picked, civil service, 35 respondents and in the teaching profession, 38 respondents were randomly picked.

### Results and Interpretations

**Research Question 1:** What is the effect of socio economic background of parents on literacy in early childhood?

**Table 3: Effect of Socio Economic Background of Parents on literacy in early childhood**

S/N						AGREED		DISAGREED	
		SA	A	D	SD	F	%	F	%
1.	Literacy involves reading, writing and solving arithmetic problems	51	20	19	10	71	71	29	29
2.	Literacy is important for all members of the community	43	27	15	11	70	70	26	26
3.	Providing the following to								

	my children will aid early literacy: a) shared reading, a) Video tapes b) Story books c) Mini computers	43 47 35	30 39 30	17 06 15	10 08 20	73 86 65	73 86 65	27 14 35	27 14 35
4.	Children from high socio-economic backgrounds enjoy early childhood literacy	35	35	13	17	70	70	30	30
5.	The level of education of the parents will dictate the support given to literacy in early childhood.	38	33	10	19	71	71	29	29
6.	Children from non-literacy promoting environments suffer various setbacks in reading in later years	30	21	16	33	51	51	49	49
7.	Literacy should start at the formal school age.	17	13	31	39	30	30	70	70
8.	Lack of good literacy skills can lead to children dropping out of school.	47	38	07	08	85	85	15	15

The results in Table 1 indicated that 71(70%) of the respondents agreed that literacy involves reading, writing and doing arithmetic, while 70 (70%) agreed that literacy is important for all members of the community. 73 (73%) of the respondents indicated that providing video for children will aid early literacy, while 86 (86%) agreed that providing story books to children will aid early literacy and 65 (65%) agreed that Providing Mini Computers for children will aid early literacy. 70 (70%) agreed that Children from high Socio-Economic backgrounds enjoy early literacy, while 71 (71%) agreed that the level of education of parents will dictate the support given to literacy in early childhood while 51 (51%) respondents agreed that Children from non-literacy promoting environments suffer various setbacks in reading in later years and 70 (70%) respondents disagreed that Literacy should start at the formal school age. 85 (85%) respondents agreed that lack of good literacy skills can lead to children dropping out of school.

**Research Question 2:** What is the impact of literacy in early childhood on personal and community development?

**Table 4: Impact of literacy in early childhood and community development**

S/N						AGREED		DISAGREED	
		SA	A	D	SD	F	%	F	%
1.	Literacy benefits both individuals and communities.	47	38	7	8	85	85	15	15
2.	Literacy is a key for Socio-economic development.	49	31	15	5	80	80	20	20
3.	Literacy enables individuals to achieve their goals, develop their knowledge and potentials	44	36	11	9	80	80	20	20
4.	Development requires educated, skilled and competent people for development purposes.	51	23	13	11	74	74	24	24
5.	Literacy plays a key role in providing skilled manpower.	48	25	14	13	73	73	27	27

6.	Literate persons have better standards of living.	32	34	21	13	66	66	34	34
7.	Literate parents, caregivers, teachers must play roles in literacy in early childhood.	49	30	16	5	79	79	21	21

The Results in Table 2 indicated that 85 (85%) of the respondents agreed that literacy benefits both individuals and communities, while 80 (80%) agreed that literacy is a key for Socio-economic development. 80 (80%) of the respondents indicated that literacy enables individuals to achieve their goals, develop their knowledge and potentials, while 74 (74%) agreed that development requires educated, skilled and competent people for development purposes 73 (73%) agreed that literacy plays a key role in providing skilled manpower and 66 (66%) agreed that literate persons have better standards of living and that 79 (79%) agreed that literate parents, caregivers and teachers must play roles in literacy in early childhood (79%).

### Discussion

The study revealed that socio-economic background of parents has a lot of roles to play in entrenching literacy early in children. The study revealed that children from enlightened homes have better opportunities for early literacy than children from illiterate homes. Baydar et al, (1993), DEST, (2005) believe that children who struggle with literacy have shown signs of poor emergent literacy skills prior to school entry. This might be an indication of the fact that children come from non-literate homes where they are not exposed to literacy incentives such as availability of computers, video tapes and other gadgets that could aid literacy skills being acquired early in life.

The study lent credence to the fact that when children live in literate enabled environment where they have access to materials such as books, crayons and paper, alphabet materials or are linked to families, Caregivers or teachers who are literate or have access to literacy related activities such as reading bed time stories, watching cartoons on T.V; listening to children's songs on CD ROMs, children become literate early in life in this type of environment. This fact is supported by Hood et. al, (2008), Malhussh et. al (2008), Weigel et. al, 2006). They believed that though schools are specifically designed to facilitate formal learning of reading and writing, however the quality of the home and the quality of early year's services and environments are the most important factors in literacy development.

The study, discovered that because disadvantaged homes were limited in the provision of literacy promoting environments implying that fewer or no books could be found in such homes, possibly the parents are not literate, no time was spent in reading to children, children from such homes lacked early literacy skills. The implication here is that a literacy rich environment can override some of the educational advantages that lower income family often face (Literacy in Early Childhood: [www.rch.org.au/ccch/policybriefs.cfm](http://www.rch.org.au/ccch/policybriefs.cfm) 2-7-12).

The study also revealed that some literacy activities that are effective in improving and developing literacy skills include, regular shared reading, use of appropriate books for appropriate age, reciting of nursery rhymes and singing of songs. Senechal & Cornell, 1993 believed that regular shared reading from a young age has been shown to correlate positively in the language development and Stahl, (2003), believed that the types of books selected to read with children impact their emergent literacy as they assist in the development of word identification and help children develop an awareness of how letters map unto sounds, (Stahl, 2003).

The study opened up the fact that children with early literacy skills tend to perform and grow academically while the less disadvantaged students tend to get left behind. Since literacy is to be used in various contexts, it is therefore important that children be caught young in literacy issues as literacy involves a continuum of learning and thus helps individuals to achieve stated goals and develop knowledge and potentials for future personal and community activities. This will help them to participate fully in their communities and literacy becomes important in development as development requires educated, skilled and competent people who eventually will constitute skilled manpower ([www.envis.maharashtra.gov.in/envis\\_data](http://www.envis.maharashtra.gov.in/envis_data) 5-7-12).

When children are taught to read early, they are being exposed to new opportunities for social understanding, for learning about the world, for showing experiences, pleasures and needs. Pre-literacy and literacy activities have been shown to help further children's language competences in both the preschool years and after schooling ([www.child-encyclopedia.com/en-ca/la](http://www.child-encyclopedia.com/en-ca/la) Accessed – 7/7/12).

Because the ability to read and write is the basis for all other education; literacy should therefore be introduced early in life since literacy is necessary for an individual to understand information that is out of context whether written or verbal. If poverty is to be eradicated, if infant mortality rate is to be reduced, if gender inequality is to be addressed and if sustainable development is to be achieved and created, children who will become nations' great men must be introduced to literacy early in life.

### **Recommendations**

Based on the above expositions, parents, caregivers and teachers of Children in early years must provide a good environment for pre-school literacy.

Parents should endeavor to teach their children to read long before they enter school. They should read to their children, buy them books and encourage children to read so that they will be prepared adequately for school. Parents should create time to interact with their children as this is the only way to help them to be literate early in life.

Shared book reading, exposing children to various forms of print, playing language games, singing songs and reciting rhymes should be encouraged in children.

Everyone/Professionals that has a touch with the family; child health nurses, teachers, community's health care professionals, should see themselves as partakers in the development of early literacy skills in children.

Literacy activities such as language games, computers and toys that are educative should be made available to motivate children to learn literacy skills.

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# **CORRELATE RELATIONSHIP BETWEEN MANPOWER DEVELOPMENT AND JOB SATISFACTION IN EDUCATIONAL SECTOR IN NIGERIA**

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## **Abstract:**

This study focused on the relationship between Manpower development and Job satisfaction in the educational sector in Nigeria. Survey research design was employed and Simple random sampling technique (probabilistic technique) was used to select the sample size from the respondents. A total of 120 respondents were selected from the population in which 100 responses were accurate and found analyzable for this research. Questionnaire was used to collect the data from the respondents, and the data collected were subjected to Pearson Product Moment correlation and Regression analytical methods. These were employed to show the existence of relationship between manpower development and job satisfaction.

The study revealed that there is a positive and significant relationship between manpower development and job satisfaction. The correlation coefficient is 0.742 which indicate a strong relationship between the two variables and also  $R^2$  value of 0.551 explains that 55.1% of the variability in the dependent variable can be explained by independent variable.

The study concluded that manpower planning should be given priority in the study area so as to enhance the productivity of the employees thus increase their job satisfaction.

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**Key Words:** Manpower, Planning, Job Satisfaction, Educational sector, Nigeria

## **1.0 Introduction**

In the history of any organizational set-up, the manpower or employees are very vital in the progress of such. Since the greatest asset that any establishment can possess is the human resources, hence they need to be satisfied on the job before the goals and aspirations of the organization can be attained likewise the employees. However, job satisfaction can be attained after the organization has taken its time and money to develop the employee through training and using other motivational factors like self-esteem, salaries, advancement and recognition on the job. Therefore, job satisfaction is a function of manpower development and other factors, i.e. JS (MD, SA, AD, SE, RE, etc) and when employees are dissatisfied on the job, there are many problems that can emanate from it and such problems include labour turnover, strike, absenteeism, low productivity, low revenue and strain relationship between the management and the union.

Most people that are expected to be in the educational sector as teachers must have had a National Certificate of Education (NCE), University degree up to doctorate degree but findings revealed that those that teaches are not interested in the job originally but because they are unable to get the job of their choice, they took over a teaching appointment in the educational line.

## **2.0 Theoretical Framework**

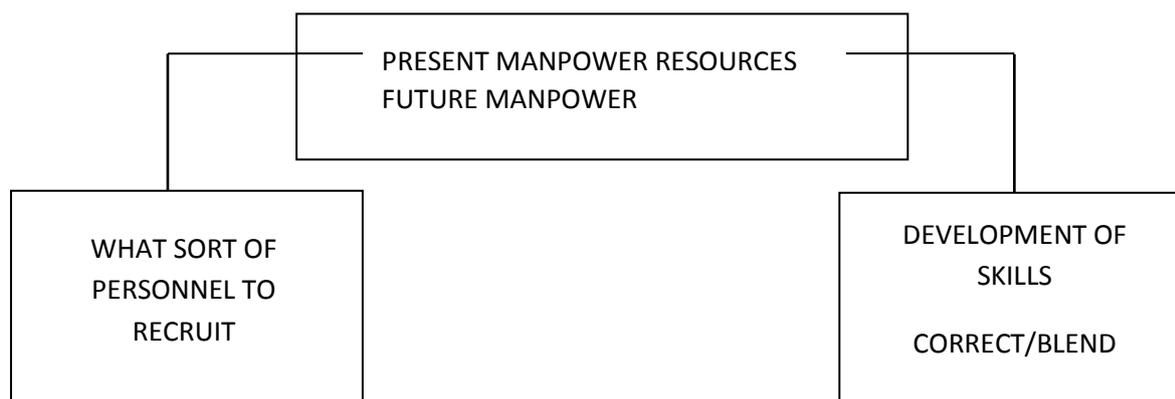
Manpower development is a tool that is being used by the management to create job satisfaction and boost the morale of the employees in the educational sector. Many authors have contributed to the topic manpower development which is achieved through manpower planning which consequently leads to job satisfaction and there is always an agreement through the submission made

by these authors.

## 2.1 Manpower Planning

Adeoye (2002) opined that MP is the supply and demand of human resources in accordance to the manpower requirements within the organisation with the aim of developing a well tailored manpower development programmes to enhance the satisfaction of the employees. Since this is the first stage in planning for MD in any organisation, therefore, MP is not only a question of what sort of people should be recruited today, but also what needs to be done to fit the existing employees into the future situation so as to avoid having a surplus of some skills and a shortage of others as well as reducing the intent of turnover.

**Fig.1. Factors in Manpower Planning**



*Source: Adeoye, 2002: Contemporary issues in human resources management and organizational behavior.*

The requirements for Manpower Planning are as follows:

- a. assessing present manpower resources
- b. establishing future manpower requirements
- c. taking appropriate steps to ensure the supply of manpower that meets the future needs
- d. Working with other departments including accounting or budgeting so that manpower costs can be determined.

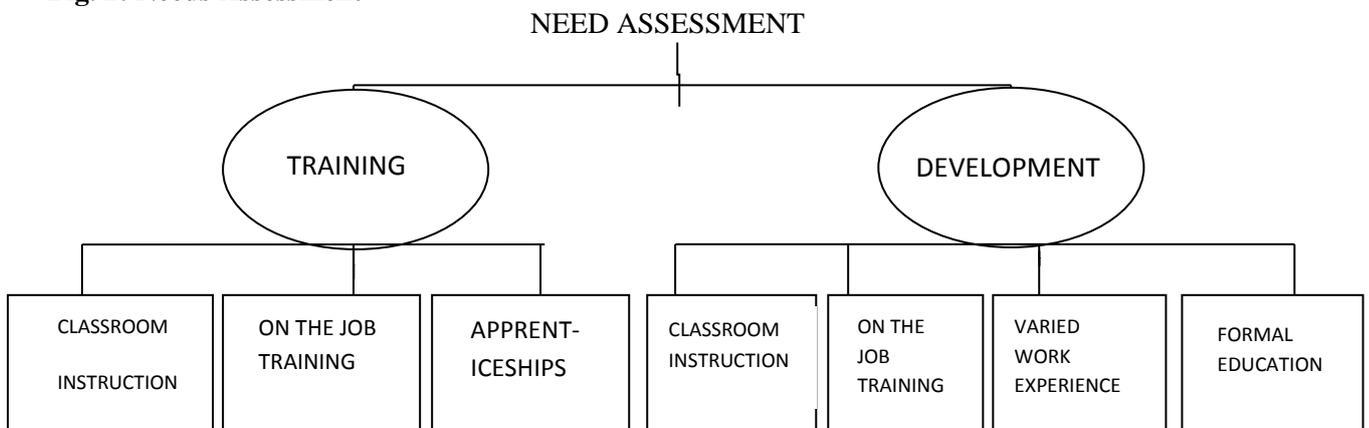
## 2.2 Manpower Development

Manpower Development could also be tagged as training and development of employees which is the acquisition of new skills, and knowledge to bring about proficiency and the potency of such an employee of an establishment (Jones et al. 2000; Okotoni & Erero, 2005). Rao & Narayana (1987) was of the view that Manpower Development is an attempt to bring a change in an individual's attitude and behavior by improving their knowledge, skills and job performance so as to achieve a better fit with the system as well as accomplishing the goals of the organization and that of the individual. They contended that manpower is just an aspect of organizational development which is broader. Training and development is a mode of tilting or a process of altering employees' behavior and attitudes in a way that increases the probability of goal attainment. There are various types of training programmes; some last only a few hours, others last for months. Some are fairly superficial; others are extensive in coverage (Akintayo, 1996; Hodgelts & Luthans, 2000 and Oguntimehin, 2001).

Jones et al. (2000) was of the view that training is a way of impartation on organizational members how to perform their current jobs and helping them acquire the knowledge and skills they need to be effective performers by taking up new responsibilities, and adapt to changing conditions while they opined that developments deals with the building of the knowledge and skills of organizational members so that they will be prepared to take on new responsibilities and challenges but training is being used frequently at lower levels of an organisation. Development is a word that is frequently used with the professionals and managers. However, before the creation of training and

development programmes, managers should perform a needs assessment in which they will determine who among the employees needed to be trained or developed and what type of skills or knowledge they need to acquire (Jones et al., 2000).

**Fig. 2: Needs Assessment**



Source: - Gareth R. Jones: *Contemporary Management, Second edition, 2000, pg 364.*

There are different types of training and development as identified by Jones et al., 2000 and these are: Training forms include classroom instruction, on-the-job training, and apprenticeship while development covers class instruction, off-the-job training, on-the-job training, varied work experiences and formal education.

Ivancevich & Malteson (2002) posits that training as a programme is inevitable and invaluable in the breaking-in stage. Training programmes are imperative and necessary to instruct new employees in proper techniques and to develop requisite skills and effective training programmes will provide frequent and adequate feedback about progress in acquiring the necessary skills. In the same vein, Ajibade, (1993), Adeniyi, (1995), Arikewuyo, (1999) and Adeoye, (2002) submitted that Manpower Development otherwise known as training and development is part of the human resources manager's function. Training is the systematic process of altering the behavior and /or attitudes of employees in a direction to increase organizational goal achievement OR is an effort by the employer to provide opportunities for the employee to acquire job related skills, attitudes and knowledge. Adeoye (2002) argued that developmental programmes are generally geared toward educating supervisory employees above and beyond the immediate technical requirements of the job and has a main objective of improving the effective performance of all managers as well as reducing succession problems.

### 2.3 Objectives of Manpower Development

Adeoye, (2002), Okotoni & Erero, (2005) and Olaniyan & Ojo (2008) enumerated the objectives of Manpower Development with the view that the responsibility of every manager in an organization is to improve or increase the effectiveness of his employees. Moreover, training is an investment in people, so it has some certain objectives to accomplish and these include

- i. to increase the performance of the employees
- ii. to impart knowledge, skills and capabilities to both new and old employees.
- iii. to create room for team spirit and high morale in the organization
- iv. to encourage the employees to develop their career to meet individual yearnings and aspirations.
- v. to help in adaptability of the employees to ever changing work environment and technological changes that is occurring on daily basis.
- vi. to help bridge the gap between existing performance ability and desired performance.
- vii. to help in the creation of job satisfaction for the employees.

### 3.0 Job Satisfaction

Job satisfaction comes to reality in an establishment when an employee has acquired or attained what he/she believes is a motivating factor. What brings job satisfaction in an individual is quite different from each other. In the previous time, researchers have given varied reasons for an employee attaining job satisfaction, some are monetary based, e.g. salary, wages, allowance while others are non-monetary, e.g. promotion, recognition, sponsorship of employees for further training and so on.

Winfield *et al.*, (2000) said that job satisfaction can only be achieved when there is a good rapport between the employer and employee. JB is obtainable when there are motivational factors on ground but in a situation whereby an organization which seeks to coerce its workers for little financial gain and with poor job satisfaction will fail. However, one that relies on the power of money (resource power) but which offers poor job satisfaction may be storing up problems of poor employee loyalty. In a similar way, Ivancevich & Maltson (2002) viewed job satisfaction as an attitude that workers have about their jobs which crops up from their perception of their jobs and the degree to which there is a good fit between the individual and organization. A good number of factors were identified that are associated with job satisfaction and among these factors are pay, work itself, promotion opportunities, supervision, coworkers, working conditions, job security, etc. Moreover, when there is job satisfaction, there is a corresponding high job performance because the satisfied worker is more productive.

Gibson *et al.*, (1997) and Jones *et al.*, (2002) see job satisfaction as an attitude or behavior that individuals have about their jobs and particularly based on their perception about the factors of the conditions and fringe benefits. The main objective of studying job satisfaction is to enable managers have an idea on how to improve employee attitudes. The success of job satisfaction will depend largely on the levels of intrinsic and extrinsic outcomes and how the jobholder views those outcomes. For some people, responsible and challenging work may have neutral or even negative value depending on their education and prior experience with work providing intrinsic outcomes. However, in others such work outcomes may have high positive value because people differ in importance they attach to job outcomes. It was concluded that an individual's expression of personal well being is associated with doing the assigned job.

Ford (1992) viewed job satisfaction via Herzberg's two factor theory that motivator factors are seen as the key to job satisfaction and these motivators include job elements associated with personal growth and development such as autonomy and creativity. It was reiterated that there is a high relationship between job satisfaction and high productivity which are highly appreciated and valued in our society, and various attempts are being made to design work so as to jointly achieve these goals on a continuous basis. JB is also a pleasurable emotional state resulting from the perception of one's job as fulfilling or allowing the fulfillment of one's important job values, provided these values are compatible with one's needs. Reasons were adduced for the importance of job satisfaction for both the employee and employer which are:

- It has some cogent relationship with the mental health of the people
- It is positively correlated with individual physical health
- It publishes the organization by spreading its goodwill
- Individuals can live with the organization
- It reduces absenteeism and turnover intent.

Supervision, work group, job content, occupational level, specialization, age, race, sex, and educational level are key determinants of job satisfaction (Rao & Narayana, 1987).

Cartwright & Cooper (1997) opined that individuals' job satisfaction is a function of both organizational climate and structure. The involvement of workers in decision making process produces more and had a greater level of job satisfaction and help build employees feelings of investment in the company's success, create a sense of belonging, and improve communication channels within the organization. In many studies, it has been detected that nonparticipation in decision making process at work was a predictor of strain and job related stress which most often leads to poor health, escapist drinking, depression, low self-esteem, absenteeism and turnover intent.

#### 4.0 Methods

In order to examine the relationships between manpower development and job satisfaction, a cross sectional survey design was used by collecting data from a defined population. The population of this study made up of all academics and non academics staff of Lagos State University, Nigeria. A simple random sampling technique was used in selecting total respondents of 120 which consists of both academics and non academics members of staff in Lagos State University. The copies of the questionnaire were delivered to the respondent and 100 valid copies of the questionnaire were returned giving 83% response rate. In pursuance of the study objectives, the research instruments used was a structured and non-disguised questionnaire with closed-ended questions, designed from literature review and previous studies.

#### Model Specification

The model as stated below was used to analyze the study:

**Job Satisfaction** = f(Manpower Development)

Where:

**Job Satisfaction** = good take home pay, promotion, attaining individual yearning and aspiration, team spirit, and work improvement

**Manpower Development** = training

#### 4.1 Reliability and Validity Analysis

Reliability analyses are conducted for job satisfaction, manpower development, take home pay, promotion, attaining individual yearning and aspiration, team spirit, and work improvement. Cronbach Alpha scores of the measures ranged between 0.800 and 0.950. The means, Standard Deviation, and Reliability Coefficients for each variable are given in Table 1.

**Table 1: Reliability Coefficients of the Variables**

Scale	Mean	Std. Dev.	Cronbach $\alpha$
Job Satisfaction (overall)	4.25	0.8144	0.950
Work improvement	3.92	0.981	0.811
Take home pay	3.84	1.027	0.811
Promotion	4.39	1.095	0.804
Attaining individual yearning and aspiration	4.56	0.934	0.935
Team spirit	4.56	1.016	0.941
Manpower Devpt (Training)	2.451	1.436	0.916

*Source: Authors' Data Analysis, 2012*

Validity of the instruments was sought through construct validity and external validity test. Construct validity was determined through the elaborate use of literatures related to the study, so as to create element of linkages and correlation with the previous work on the topic. External validity test was conducted by using reality check approach developed by McGrath, MacMillan, and Venkatraman (1995). This was achieved by discussing the content of the instrument with knowledgeable senior colleagues in the fields related to the topic under discussion. Their opinions and views highly correlated with the intention of the authors, which gives credence to the external validity of the instrument.

#### 5.0 Analytical Procedures

The data from the survey were analyzed using Statistical Package for Social Sciences (SPSS) in order to give useful meaning to the data and expantiate more on the research hypothesis. Descriptive statistics was employed to gain more perspectives into the socio-demographic characteristics of the respondents also frequency distribution of the responses was calculated. Correlation analysis (i.e. Pearson Product Moment Correlation) was employed to show the existence of the relationship between manpower development and job satisfaction, while regression is used to

determine the amount of variations in the dependent variable which can be associated with changes in the value of an independent or predictor variable in the absence of other variables.

## 6.0 Empirical Results

### 6.1 Demographic characteristics of the respondents

Table 2 shows the demographic characteristics of the respondents. The table reveals that majority of the respondents are males (52%) and the remaining 48% are females. Respondents who are between 30 and above 50 years of age represent 87% of the entire respondents. Those below 30 years constitute the remaining 13%. Majority of the respondents sampled are married and they represent 72% of the entire respondents while the remaining 28% of the respondents represents single, the Divorced and the Widow/Widower. Analysis of the respondent's educational qualification revealed that 31% of them hold Masters degree, 38% of the respondents are holders of Bachelors' degree or equivalent, while those with NCE/OND make up 10%. The PhD holders constitute the remaining 11%.

**Table 2: Demographic characteristics of respondents**

		Frequency	Per cent
Sex	Male	52	52
	Female	48	48
	Total	100	100
Age	Less than 30	13	13
	30 - 39	40	40
	40 -49	36	36
	50 and above	11	11
	Total	100	100
Marital Status	Single	12	18
	Married	72	72
	Divorced	10	10
	Widower/Widow	6	6
	Total	100	100
Educational Background	B.Sc or equivalent	47	47
	Masters' degree	25	25
	Doctoral degree	10	10
	NCE/OND	18	18
	Total	100	100

*Source: Authors' field survey 2012*

### 6.2 Hypothesis Testing

**Hypothesis one:** there is no significant relationship between manpower development and job satisfaction.

This was tested using correlation coefficients test. Pearson Product Moment Correlation coefficient of 0.742 indicates that manpower development and job satisfaction are significantly and positively correlated with each other at 95% level of significance. Therefore the Null hypothesis of no significant relationship is rejected. Thus, it can be concluded that there is a significant relationship between manpower development and job satisfaction.

**Table 3: Model Summary**

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.742 <sup>a</sup>	.551	.534	.278

a. Predictors: (Constant), Manpower Development

**Table 3: Model Summary**

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.742 <sup>a</sup>	.551	.534	.278

**ANOVA**

Model	Sum of Squares	df	Mean Square	F	Sig.
1 Regression	1.171	1	1.171	1.881	.001 <sup>a</sup>
Residual	45.416	73	.622		
Total	46.587	74			

a. Predictors: (Constant), Manpower Development

b. Dependent Variable: employee's output

**Coefficients**

Model		Unstandardized Coefficients		Standardized Coefficients	T	Sig.
		B	Std. Error	Beta		
1	(Constant)	2.077	.355		5.855	.000
	Manpower Development	1.122	.089	1.59	1.372	.001

a. Dependent Variable: employee's output

**Hypothesis two:** Manpower development has no significant impact on employee's output.

The hypothesis was tested through the regression analysis using the results in table 3 above. As seen in the ANOVA table, there is a significant and positive relationship between manpower development and employee's output with F-value of 1.881. This indicates that the fitted regression equation is significant and the model is a good one. The significant value of 0.000 which is less than 0.005 shows a significant relationship between the variables at 95% level of significance. The outcome of the testing of hypothesis two indicates that Manpower development actually influenced employee's output of workers in Lagos State University with coefficient of 1.122. Thus, it can therefore be confirmed that the null hypothesis of no significant impact is rejected. Therefore it can be concluded that manpower development has a significant impact on employee's output. The R<sup>2</sup> value of 0.551 means that 55.1% of the total variability in employee's output of workers in Lagos State University can be explained by manpower development. In other words the value of R<sup>2</sup> shows that manpower development is a good predictor of employee's output.

**7.0 Conclusion**

The result of the analysis confirmed that manpower development has significant impact on job satisfaction and employee's output in the educational sector in Nigeria. The level of organizational involvement in manpower development (in form of training and retraining) will determine their output and attitude to work. Hence, manpower development should be given priority and necessary support it deserves to enhance employees' output and ensure the continuous survival of the Educational sector.

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## **PUBLISHING EDUCATIONAL CONTENT BY POLISH ACADEMIC STAFF IN THE CONTEXT OF WEB 2.0 AND OPENNESS ADOPTION – REPORT ON A SURVEY**

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### **Abstract:**

Objective of this article is to report the results of the study on publishing of teaching and learning materials by Polish academic staff in the context of adoption of Web 2.0 and openness concepts. Basic part of the study was the web based survey for individual academic teachers. Authors have also examined learning materials published at websites of numerous Polish universities to find out the reason for status quo that essentially differs from what can be observed at European and American Universities.

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**Key Words:** Web 2.0, social network, open educational resources, academic staff adoption, survey

### **Introduction:**

Web 2.0 and social networks have become thoroughly embedded in contemporary culture. People have incorporated these networks into their daily routines, using Facebook, Twitter, YouTube, online gaming environments, and other tools to build and maintain complex webs of professional and personal relationships. Students entering university are members of net generation [Ulbrich et al, 2011] and social networks are their “living technologies” [Hosein et al., 2010], that make them mobile, interactive, collaborative, creative and multitasking. Moreover business and government use social network as a communication and marketing tool to be in touch with their clients, citizens and electors. Higher educational institutions are not unaware of these facts and implementing Web 2.0 technologies and tools in various area (teaching, administration and management) is ongoing process.

On the other hand there is meaningful movement for openness. The concept of ‘openness’ is based on the idea that knowledge should be disseminated and shared freely through the Internet for the benefit of society as a whole. The two most important aspects of openness are free availability and as few restrictions as possible on the use of the resource, in technical, legal or price aspects. Openness in higher education means Open Access (OA) and Open Educational Resources (OER). Open access publishing usually refers to the worldwide electronic distribution of peer-reviewed journal literature in order to give free and unrestricted access to it [BOAI, 2002]. OER are teaching, learning and research materials in any medium that reside in the public domain and have been released under an open licence that permits access, use, repurposing, reuse and redistribution by others with no or limited restrictions [Atkins et al. 2007].

In recent times – particularly the last six years – there have been worldwide, ongoing discussion and debate on using Web 2.0 technologies and tools in education and need for openness in this domain. Although many researchers observe that using of these technologies in teaching and learning can be of benefit to students [e.g. Homola et al., 2009, Moran et al. 2011, Blankenship, 2010] and report increasing extend and frequency of use [Moran et al., 2011], there are also more sceptical voices [Grosseck and Selwyn, 2011].

Idea of openness has gain popularity after spectacular success of OER projects, such as MIT OpenCourseWare or Rice University’s Connexions project. According to OECD in 2007, there were already more than 3000 open access courses (opencourseware) available from over 300 universities worldwide [OECD, 2007]. There is opinion that OER coupled with social networking and collaborative learning has created opportunity for pedagogical innovation [UNESCO, 2011].

Aforementioned trends and phenomena beg a question about current course of action in particular academic communities. Are they all so enthusiastic as American ones [Moran et al., 2011]? What is perception of Web 2.0 tools and attitude towards open publishing? What is level of adoption of this innovation by individuals? [Ajian and Harsthorne, 2008].

Objective of this article is to report the results of the study on publishing of teaching and learning materials by Polish academic staff in the context of adoption of Web 2.0 and openness concepts. Basic part of the study was the web based survey for individual academic teachers. Authors also have examined learning materials published at websites of numerous Polish universities to find out the reason for status quo that essentially differs from what can be observed at European and American Universities.

### Methodology and sample

The sample for this study comprises members of academic staff from many disciplines in higher education. A selection process was two-stages. It began with random selection of 24 institutions from total of 132 public, higher education institutions in Poland.

Sample included universities, technical and medical universities, academies of economics and art academies. At the next stage, a sample of 1194 academic teachers was drawn from the population of those faculty members whose e-mail addresses were published on institutional web pages. They were sent invitation messages containing link to online form and explaining the goals and importance of investigation. They were also requested to forward the mail to their peers.

The questionnaire consisted of 22 questions. Most of them were partially open-ended, i.e. they provided the list with alternatives and an alternative "other" to enter free text for unanticipated answers. The data was collected on nominal scale (respondents were asked to select all alternatives that apply).

The survey was carried out between March and April 2010.

Total of 194 people filled in questionnaire (N=194); so the response rate was 16% (the number of messages that ended up in spam filters is, of course, unknown).

Majority of responses came from staff with PhD degree. The number of responses per scientific degree and field are given in Tables 1 and 2.

Table 1 Number of responses per scientific degree

Scientific degrees and titles	Number of respondents	Percentage
Master of Art, Science	27	13.92%
Doctor (PhD)	122	62.89%
Habilitated Doctor <sup>217</sup>	22	11.34%
Professor <sup>218</sup>	23	11.86%
	194	

Polish fields of education are assigned to groups based on the guidelines of Eurostat - SCL - Field of science and technology classification (FOS 2007).

Table 2 Number of responses per field of science

Field of science	Number of respondents	Percentage
Natural sciences (e.g. mathematics, computer and information sciences, physical sciences, chemical sciences, earth and related environmental sciences, biological sciences)	69	35.56%
Engineering and technology (e.g. electrical, electronic, mechanical engineering)	24	12.37%
Medical and health sciences	6	3.9%

<sup>217</sup> It is post-doctoral degree that requires approval by an external ministerial body. Conferred in the organizational units which are authorized to confer it.

<sup>218</sup> Conferred by the President of the Republic of Poland.

Social sciences (e.g. psychology, sociology, economics and business, law, educational sciences)	75	38.66%
Humanities (e.g. history, philosophy, languages and literature, art)	20	10.31%

For the purposes of this investigation above fields have been also classified under headings “hard” and “soft” sciences. Natural sciences, engineering and technology and medical and health sciences are assigned to “hard” sciences whereas social sciences and humanities fall into “soft” category. This is rather informal distinction. Stereotypically “hard” sciences are regarded as mathematized ones and their representatives as technology skilled in comparison to their “soft” counterparts. Authors would like to verify if responses of representatives of both categories followed these stereotypes.

### Communication with students

Only 2.58% of respondents (5 people) do not use any software application for communication with their students. Electronic mail is the most popular communication tool. Over 97% responders use it for this purpose. ‘Soft’ scientists more often use social media and twice as often manage blogs.

Table 3 Use of communication tools

Communication tool	Count	Percentage N=194	Percentage of „hard“ sciences representatives N=99	Percentage of „soft“ sciences representatives N=95
e-mail	189	97.42%	98.92%	98.95%
newsletter, internet forum	35	18.04%	20.43%	16.84%
chat. IRC	7	3.61%	5.38%	2.11%
instant messaging	21	10.82%	10.75%	11.58%
blog	6	3.09%	2.15%	4.21%
social media	17	8.76%	7.53%	10.53%
other tools	52	26.80%	34.41%	20.00%

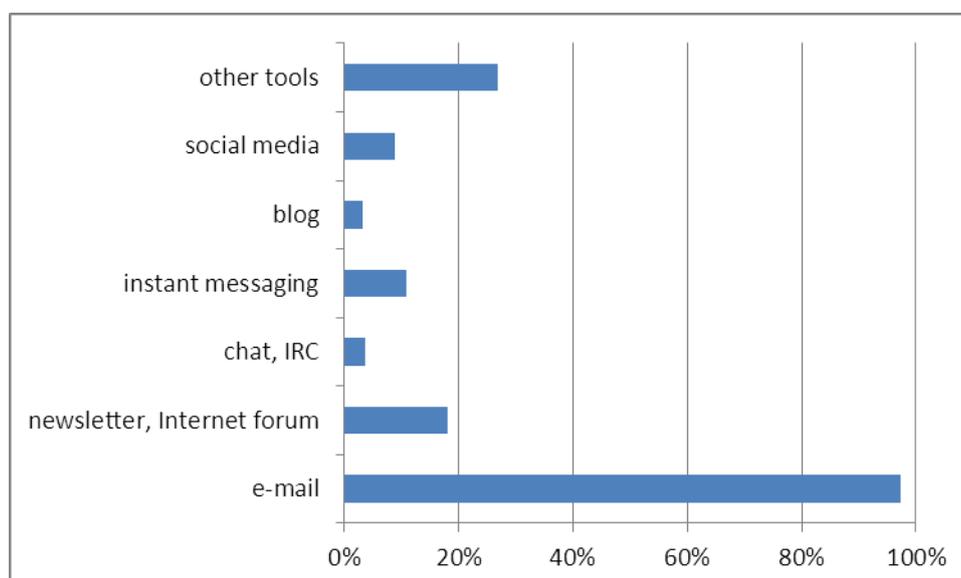


Figure 1. Use of communication tools

As other communication tools participants mentioned e-learning platforms, LMS, websites and teleconferencing.

### Publishing teaching and learning materials

Almost 97% of respondents confirm that their institutions host and maintain a website which potentially makes education content publishing available.

Table 4 Publishing of teaching and learning materials

Answer	Count	Percentage N=194	Percentage of „hard“ sciences representatives N=99	Percentage of „soft“ sciences representatives N=95
Yes	133	68.56%	70.97%	68.42%
No	61	31.44%	29.03%	31.58%

Over 68% of surveyed academic staff publish teaching and learning materials (c.f. Table 4). Although almost 40% of them are freely available, only 13.5% is released under any sort of license.

Table 5 Access to available materials

Access	Count	Percentage of those who publish N=133	Percentage of „hard“ sciences representatives N=66	Percentage of „soft“ sciences representatives N=65
Open	51	38,35%	46,97%	29,23%
Password	41	30,83%	21,21%	41,54%
Login and password	15	11,28%	10,61%	10,77%
Mix of methods	26	19,55%	21,21%	18,46%

Access to 60% published content is restricted by passwords or obligatory logging onto student account. Educational resources are located mainly at institutional websites, e-learning platforms or personal and private web pages (externally hosted). A few respondents indicated social networking (see Table 6).

Table 6 Location of educational content

Location	Count	Percentage N=133	Percentage of „hard“ sciences representatives N=68	Percentage of „soft“ sciences representatives N=65
Personal page hosted on institutional server	55	41.35%	48.48%	35.38%
Private page externally hosted	21	15.79%	16.67%	15.38%
Institutional website	68	51.13%	48.48%	53.85%
E-learning platform	37	27.82%	33.33%	21.54%
Other portals (including social networking)	7	5.26%	4.55%	6.15%

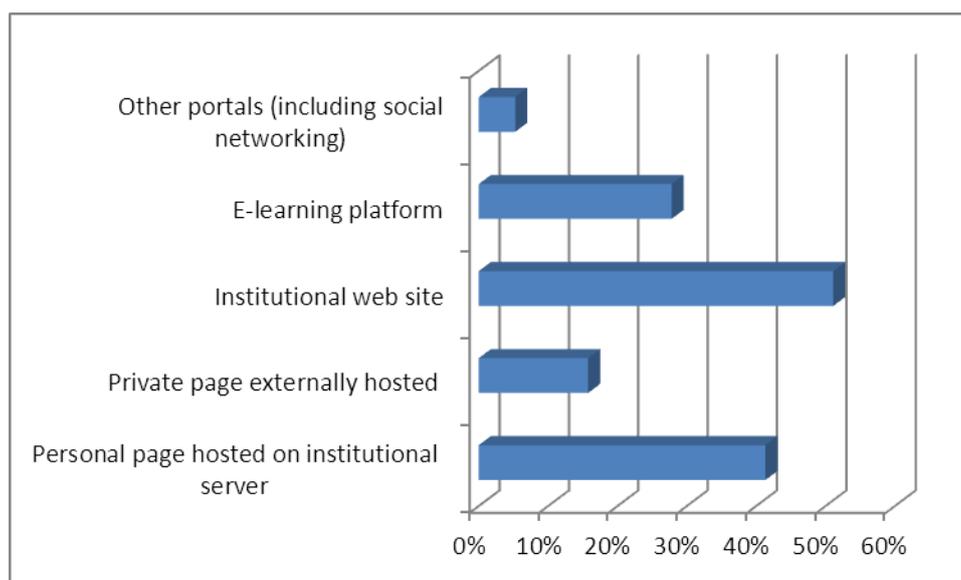


Figure 2 Location of educational content

Content of educational resources mainly includes lecture presentations (sometimes abbreviated), full text of the lectures, case studies, problems to solve (with answer key or without it), course outlines, assessment results, useful links and references, textbooks, reading materials, syllabuses, student works etc. (see Table 7).

Table 7 Content of educational resources

Content	Count	Percentage N=133	Percentage of „hard“ sciences representatives N=68	Percentage of „soft“ sciences representatives N=65
lecture presentations	73	54.89%	50.00%	58.46%
abbreviated lecture presentations	37	27.82%	22.73%	33.85%
lecture full text	11	8.27%	9.09%	7.69%
case studies	28	21.05%	18.18%	24.62%
problems to solve (without key)	81	60.90%	74.24%	49.23%
problems to solve (with key)	24	18.05%	30.30%	6.15%
other	36	27.07%	28.79%	26.15%

PDF is dominant textual format followed by word processor documents (c.f. Figure 3). Almost half of representatives of “soft” sciences make available source text documents, what implies edition approval. While representatives of “hard” science more often compress their files (c.f. Table 8).

Table 8 Format of teaching and learning materials

Format	Count	Percentage N=133	Percentage of „hard“ sciences representatives N=68	Percentage of „soft“ sciences representatives N=65
pdf	106	79,70%	80,30%	81,54%
word processor format	54	40,60%	33,33%	49,23%
spreadsheet format	29	21,80%	24,24%	20,00%
database format	12	9,02%	12,12%	6,15%
programme source code	16	12,03%	22,73%	1,54%
zip, arj	32	24,06%	39,39%	9,23%
other (including ppt, jpg, video formats,	24	18,05%	19,70%	13,85%

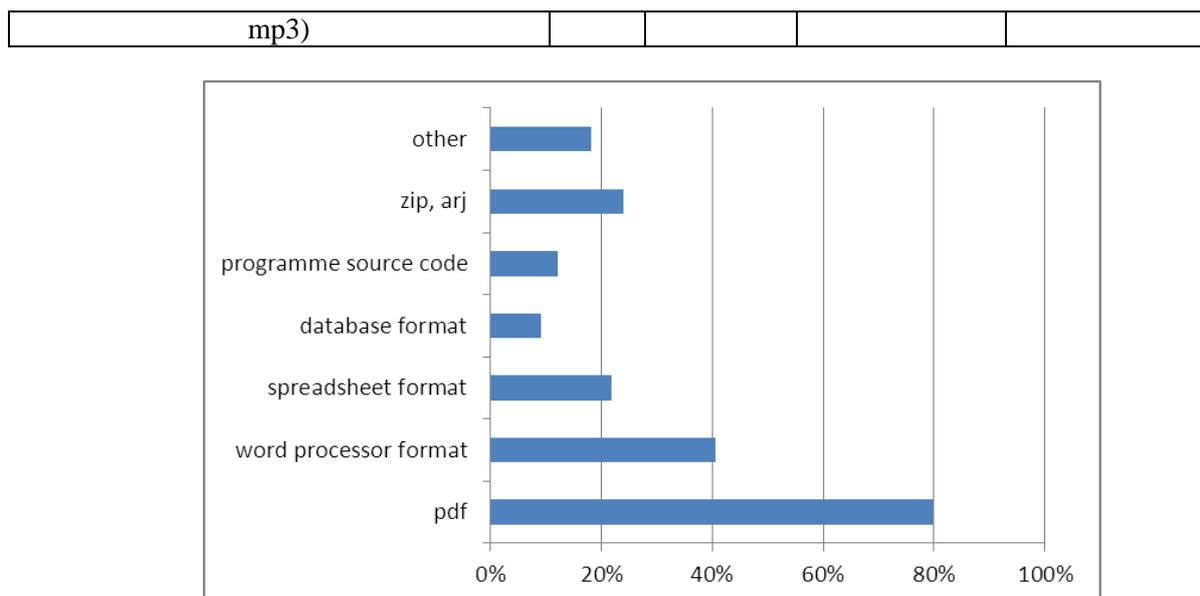


Figure 3 Format of teaching and learning materials

### Students contribution

Majority of respondents does not encourage students to contribute towards development of learning resources (c.f. Table 9). Only sometimes they participate in problems solving or developing wikis and course web pages content. Although other forms of student's activity were also pointed out, such as scientific circle web page maintaining, managing the blog dedicated to the subject of the lecture, looking for interesting information that can make lecture more attractive etc., they should be treated rather as an exception than a rule.

Table 9 Student contribution

Student contribution	Count	Percentage N=133	Percentage of „hard“ sciences representatives N=68	Percentage of „soft“ sciences representatives N=65
none	86	64,66%	60,61%	67,69%
problems solving	32	24,06%	25,76%	23,08%
wiki content developing	5	3,76%	4,55%	3,08%
course web page content developing	5	3,76%	4,55%	3,08%
other	15	11,28%	12,12%	10,77%

### Obstacles to publishing

Respondents were asked to define, from a preselected list, reasons for not publishing teaching and learning materials. The results are summarized in Table 10.

Table 10 Reasons for not publishing

	Count	Percentage N=61	Percentage of „hard“ sciences representatives N=31	Percentage of „soft“ sciences representatives N=30
lack of capacity	4	6,56%	7,41%	6,67%
lack of time	21	34,43%	48,15%	23,33%
concern over copyrights and use in appropriate manner,	29	47,54%	44,44%	50,00%
favour traditional textbooks	17	27,87%	33,33%	20,00%
concern with passing tests and	10	16,39%	11,11%	20,00%

tasks to the lower level students				
other reasons	17	27,87%	29,63%	26,67%

Over 31% of those surveyed do not publish any teaching and learning materials. Copyrights and inappropriate use are their main concerns. They worry about plagiarism in assignments and dissertations and that freely accessible educational content can be wrongfully used e.g. for commercial purposes. Representatives of “soft” sciences more often concern that tests and tasks can be passed to the lower level students. It can be explained by the fact that preparing them is more time and effort consuming than in other fields.

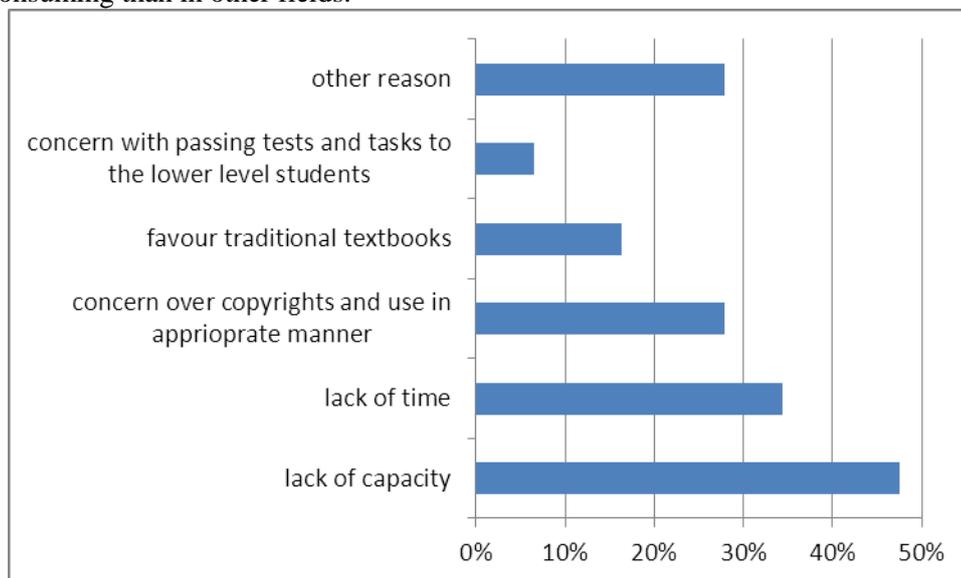


Figure 4 Reasons for not publishing

Additionally those that are not making their materials available on the Internet cited the following as reason why:

- there is no need (this response is interesting where compared to the fact, that 85.75% respondents admitted that students asked them about course materials available online)
- no required because of class type;
- there are no possibility of publishing at institutional website;
- publishing of educational content is not a common practice in Department;
- lack of institutional support and approval;
- students build on previously published materials and do not increase their knowledge;
- publishing learning materials provides opportunity rather for thoughtless copying than independent thinking;
- favouring handing in printed copies or sending materials electronically to certain people.

### Conference webcasting, lecture capturing

Technology advancement in streaming, recording, taking photos and publishing have given a rise to the need for controlling the use of personal image. More and more conferences are webcasted or recorded for future access. Records obviously contain image, likeness and voice of the person. Speakers are sometimes surprised by the fact, firstly because they do not know if it is only streaming or recording, secondly because they do not know future use of the records. More and more universities capture live lectures and make them available to students to view on demand. Although it is obvious that students should not re-publish recordings to public websites, but there are no technological barriers to prevent them from doing so. On the other hand taking traditional lecture notes in writing is not very fashionable nowadays. Students have wide range of recording devices at their disposal: notebooks, smart phones or smart pens and digital paper etc. and they do not necessarily ask lectures for permission to use them.

Taking into account aforementioned trends authors decided to ask staff members and researchers about their attitude and experience.

Only 49 of 194 respondents attended webcasted or recorded conferences. Over half of them (57%) were informed about the fact previously, but only 30% were asked for agreement whereas majority (77%) thought they should have been asked.

Nearly half (48.5%) of those surveyed would grant their consent to the recording lectures by university capture system.

More than half (55%) noticed students recording their lecture without asking for permission, while only 12% make an announcement of ban on recording.

## Conclusion

In general, the findings indicate that, those members of Polish academic staff who responded to the survey seemed to underestimate role of social media in teaching process. They are attached to traditional methods based on textbooks, printed handouts and e-mail as communication tool. Some academic teachers contribute mailing lists and take part in discussion forums, probably because these tools are native to e-learning platforms. Even if they make some materials available it is only for sake of content delivery and support. That is why textual content is by far the most frequently published one. Respondents rather present information than encourage collaboration construction of knowledge. Educational resources they produce are far from being open. Majority of them is restricted to students enrolled on the course and released under no license.

The two most pressing concerns about publishing are copyright and plagiarism. Although many academics are willing to publish some materials, they are often hesitant as how to do this without losing all their rights. When asked about other barriers that prevent them from publishing, the respondents pointed out lack of time and skills together with the absences of support from university management.

Although sample was not representative and small number of replies calls for great caution in the interpretation of results, additional analysis of available educational resources seemed to confirm emerging picture of course of action in 2010, that essentially differed from what could be observed at European and American Universities. Three years is long period of time, especially in IT, therefore authors have decided to conduct follow-up study to take stock of changes in attitudes and awareness in the field of open educational resources and exploiting social media since the first survey was made.

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## ABOUT MEETING THE OBJECTIVES OF THE CURRICULUM BY BOYS AND GIRLS LEARNING IN ANOTHER LANGUAGE

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### Abstract:

In multicultural societies, different language learning possibilities are paid much attention to. In Estonian schools, language immersion programmes have been successfully implemented. In Estonia, the implementation of the early language immersion programme started in 2000. At the same time, the problem of meeting the objectives of boys and girls has been raised. The objective of the present study is to find out – based on teachers' assessments – the results in meeting the objectives of the curriculum at the end of the first stage at school by the boys and girls having participated in the early language immersion programme. The method of this study was a questionnaire; there were 180 statements in the questionnaire. The study was carried out in years 2008 – 2010. The results of the study revealed that the meeting of the objectives of the curriculum of the boys' and girls having passed the early language immersion programme was very good according to their teachers' assessments. Generally, the language immersion programme supports the preparation of children for school and their progress at school. Boys and girls learn generally purposefully, if their gender is considered.

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**Key Words:** Boys and girls; language immersion programme, curriculum, primary school, objectives

### Introduction:

Several changes in the society have taken place since Estonia regained its independence. The constitutional right of self-development and learning is important for every child; it should be based on their needs and should enable them to develop their various capabilities to manage in life (EURYDICE, 2009; NARST Handbook, 2012; OECD, 2012). Since Estonia regained its independence and joined the EU, more and more often the peculiarities of a multicultural society have been talked about and discussed here. Therefore, the need to pay more attention to getting to know the educational needs of non-Estonians is yearly increasing. That has made citizens discuss about bilingualism as a phenomenon of life (Käosaar, 2011; Kikas, Toomela, 2012; Kukk, et.al., 2012). Several international documents of education policies emphasise that during the child's learning period, much attention has to be paid to the child's all-round social, emotional, physical and cognitive development (EUROCHILD, 2010; OECD, 2006); at that, it has been separately emphasised that multicultural learning environment has to be evaluated (EURYDICE, 2009; OECD, 2012). It is essential that in their educational development learners feel dignified among others. Their formation process into citizens is assessed by meeting the objectives of the curriculum as one of many factors. The meeting of the objectives of the curriculum has to enable the learner to make sufficient efforts and achieve readiness for learning securing their managing as people (Pramling Samuelsson, Carlsson, 2008; Yazici et al, 2010).

The objective of the authors of the present article is to find out – based on teachers' assessments – the meeting of the objectives of the curriculum by the boys and girls having participated in the early language immersion programme at the end of the first stage at school (third year at school, form 3). The method of this study was a questionnaire.

## How Estonian boys and girls have met the objectives of the curriculum

**Bilingual education in Estonia.** Since the Republic of Estonia regained its independence in 1991, the Estonian education has made for the aim that non-Estonians have to acquire functional bilingualism by the end of their leaving basic school and thus become competitive on labour and education markets of Estonia (*Language Immersion Centre, 2007*). The nature of bilingual education is seen as a development through many internal and external changes to be accomplished through linguistic opportunities. Bilingual education is influenced by educational (e.g. thinking advantages), social (e.g. literacy in two languages), economic (e.g. wider choice on labour market), cultural (e.g. more experience) and political factors (e.g. tolerance), which have their own impact fields and consequences (Baker, 2007; Levinson, 2007; Olssen, Codd, O'Neill, 2004). Discussions on bilingual education have been focused on the development of the first language, the development of the second language and progress in all the subjects (Brisk, Harrington, 2007; Levinson, 2007).

**Implementation of language immersion programme in Estonia.** In Estonia, the early language immersion programme is considered one of the most efficient possibilities (Käosaar, 2011), and has been implemented in basic schools of Estonia since year 2000; it has also been more consciously studied (Kukk, et al., 2012; Mehisto, Asser, 2005; Mehisto, 2012). The language immersion programme is an enriching way of learning, where learning is offered in a language which is not the learner's mother tongue (*Phare programme – European Union*). The objective of the programme is to support the integration of children of other nationalities in the Estonian society and provide them with equally good skills both in their mother tongue and in other languages (Dalton-Puffer, 2011; Genesee, Paradis, Crago, 2004). The readiness for the participation in the learning process is formed step by step.

In the present case, the socio-constructivist approach the ideological principles of which Estonian national curriculums – the *national curriculum of basic schools and grammar schools (2002)* among others – proceed from has been taken as the theoretical basis. The activeness of the learner in the learning process and the acquisition of knowledge in relations with the surrounding environment are emphasised (Bredenkamp, Cople, 1997; Dewey, 1963; Doddington, Hilton, 2007; Winch, Gingell, 2008). The national curriculum of basic schools and grammar schools (2002) is a core-curriculum by character, where the emphasis is on the transdisciplinary approach and focus is on learners' interests and solving problems (Krull, Mikser, 2010). The curriculum (2002) sets concrete objectives for the mental, social and physical development of children during learning process, and for teaching them to achieve learning results. In the general objectives, achieving the skills related to the general managing of the person has been enacted. During the last decades, gender studies have been more and more focused on (Marling, 2011); the attention has been paid to the fact that the process of teaching boys and girls requires more differentiation in the emphasis on activities and the conveyance of information (Gurian, Ballew, 2004; Potowski, 2002).

**Boys and girls as learners.** Boys' and girls' special educational needs proceed from their biological differences. First of all, the composition and functioning of their brains are different (e.g. the right and left hemispheres of girls' brain are in better interconnection than these of boys' brain, in the result of which girls use resources faster, more frequently and in more fields of their brains) (Gurian, Ballew, 2004; Biddulph, 2008, 60; Blakemore, Frith 2005). Boys' thinking is mostly deductive and girls' thinking is inductive (Gurian, Ballew 2004). Proceeding from that, in meeting the objectives of the curriculum at the first stage of school it is essential to take into consideration that boys' fine motor skills and coordination abilities are still at the developing stage while girls, in general, already use these skills. The different speed of the development of brains has caused boys' more frequent learning difficulties, the fall in learning motivation and interest (Biddulph, 2008). According to the studies (Blakemore, Frith, 2005; Seebauer, 2008; Watson, et al. 2010) it has become clear that boys' need for physical activity is significantly bigger than that of girls. It has also been observed that for boys the motivator of solving problems is an inspiring challenge, for girls it is a wish not to disappoint others (parents, teachers, friends) (Seebauer, 2008; Watson, et al., 2010). In addition to the above-mentioned development peculiarities, meeting the objectives of the curriculum, teachers have to consider the fact that learners' abilities are different, the social and cultural background of every learner is different, and their development does not proceed evenly (Biddulph, 2008; Connolly, 2004; Eschenbeck, Kohlmann, Lohaus, 2007; Holz, 2008; Watson, et al., 2010). In order to efficiently

meet the objectives of the curriculum, it is important to consider gender roles formed / being formed in the context of boys' and girls' socio-cultural background (Alloway, et al. 2002; Biddulph, 2008; Connolly, 2004; Gurian, Ballew 2004; Genesee, 1996; Potowski, 2002; Talib, et al., 2009) – that influences everyday academic managing as well. Boys' and girls' learning is more successful, if it takes place in social situations, and the learner connects new contents with their earlier knowledge and experience (Kikas, Toomela 2012; Shelton, 2008; Tynjälä, Heikkinen, Huttunen., 2005). The reality of the surrounding environment is essential, as it forms the perception of the development process of the personality (e.g. at school, at home, in class, etc.) in the particular society and culture (Engeström, 2004; Tynjälä, Heikkinen & Huttunen, 2005). Thus the actuality the present theme comes from the need to learn how the boys and girls having started learning by the Russian language immersion programme have met the objectives set in the curriculum by the end of the third year at school. The comparative assessment of the development results of boys and girls proceeding from the objectives of the curriculum enables to receive feedback about their school performance by the end of the first stage at school. The main problem of the study is as follows: *How well have the boys and girls having participated in the early language immersion programme met the objectives of the curriculum by the end of the first stage at school based on their teachers' assessments?*

**Method and sample.** The study has been composed as a survey; it is quantitative and descriptive by study type (Creswell, 2005, 353-354). The study is longitudinal, and the data presented in the article have been collected during three years of study (2008–2010). The method of collecting data was the structured questionnaire, which consisted of a series of statements divided into theme blocks for the assessment of the meeting of the objectives of the curriculum.

In the framework of the study project, data were collected from the same individuals in different times to get data for analysing the meeting of the objectives of the curriculum. The study consisted of three stages: the first in 2008, first year at school (form 1); the second in 2009, second year at school (form 2); and the third in 2010, (n=52), third year at school (form 3).

In order to increase the reliability of the results the persons under study were chosen from different counties, and the time of collecting data was at the end of the learning period (in spring). 34 class teachers assessed pupils' (2010, N=52) meeting the objectives of the curriculum at the first stage at basic school. In the representative sample there were more capable and less capable children by their learning abilities.

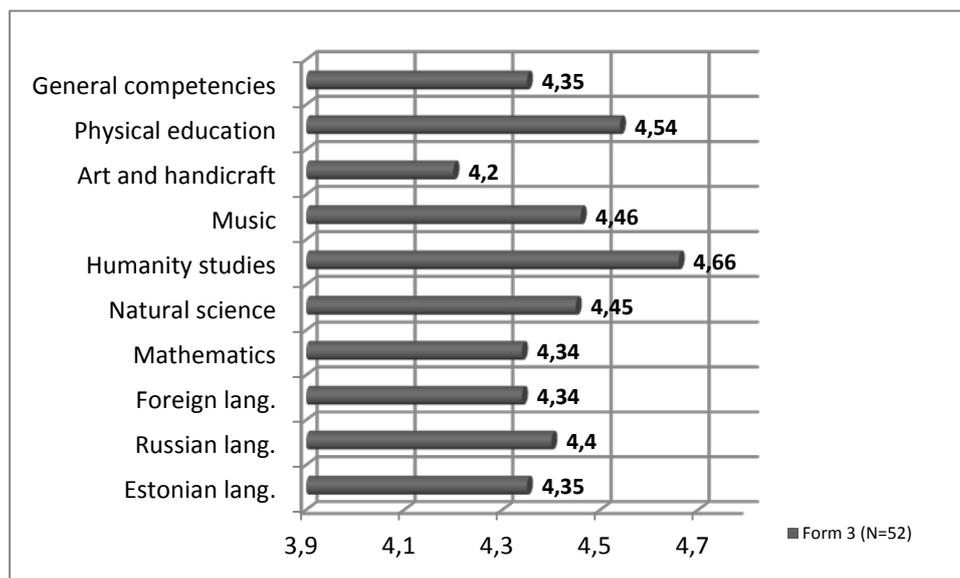
Statements in the questionnaire describe the objectives of the curriculum and have been divided into theme fields; this enables to compare the results from the point of view of the curriculum as a whole. The assessment of the data took place on the Likert-type 5-point scale (1=poor; 3=medium; 5=excellent). The reliability of the variables belonging to different fields of the questionnaire has been assessed by Cronbach alfa. The questionnaire for primary school teachers consisted of the following areas: 1) general educational objective (n=30,  $\alpha = .975$ ), 2) Estonian and Russian language (n=30,  $\alpha = .979$ ), 3) mathematics (n=22,  $\alpha = .978$ ), 4) natural history (n=18,  $\alpha = .954$ ), 5) human study (n=16,  $\alpha = .944$ ), 6) music (n=17,  $\alpha = .986$ ), 7) art and handicraft (n=29,  $\alpha = .955$ ), 8) physical education (n=20,  $\alpha = .969$ ) 9) foreign language (n=17,  $\alpha = .927$ ).

In the analysis of the results, characteristics of descriptive statistics were firstly used. The connections between the learning fields were studied by Pearson's correlation analysis, statistically relevant differences in averages were checked by Student's t-test.  $\alpha = 0.05$  as the relevant level has been used in interpreting the test results (Creswell, 2005).

The meeting of the objectives of the curriculum by boys and girls at the end of the first stage at school (based on the assessments of their teachers)

During the last years, the feminised school has arisen on the agenda where girls and boys have appeared to find themselves in a learning environment which is unequal for them (Ballew, Gurian, 2004; Connolly, 2004; Eschenbeck, Kohlmann, Lohaus, 2007; Holz, 2008). Hence the reason for the observation if there are differences between boys and girls in managing with school activities in order to meet the objectives of the curriculum. In the national curriculums, which have once been and are still in force in Estonia, the emphasis is on focusing on pupils' interests and solving problems (Kikas, Toomela, 2012; Kukk, 2012). Although the curriculum is subject-based, its objective is to integrate the knowledge offered in the subject matters of different fields, getting to know social problems, which are related to the pupil and society. The objectives of the curriculum have been divided into

subject fields to be assessed, which proceed from the subject matter of the national curriculum. First, the drawing below presents a summary of teachers' assessments on the meeting of the objectives of the curriculum by the pupils of the third year at school (form 3) in different fields.



$$\alpha = .980; p < .005$$

**Drawing 1.** Teachers' assessments on meeting the objectives of the curriculum in different fields by the pupils of form 3.

Drawing 1 shows that from the point of view of meeting the objectives of the curriculum, boys' and girls' learning results – based on their teachers' assessments – turn out to be generally very good. At the end of the first stage of school, the best marks have been provided by teachers to pupils' achievements in meeting the objectives of the curriculum in the field of humanity studies of all the fields under study (form 3 (n=52):  $x=4,66$ ). By that, pupils have positive self-approach and good relations with classmates, they are considerate and fair to others and themselves; they value family, recognise their home place and appreciate good practices of behaviour. Lowest marks in the comparison of learning fields have been provided in the field of art and handicraft ( $x=4,2$ ). This particular field requires good fine motor skills and coordination, and the result confirms researchers' viewpoint that these skills are only in a developing stage at the first stage at school. Thus, the present study result confirms development peculiarities of learners at this age. To sum up, it can be stated that (see Drawing 1) the meeting of the objectives of the curriculum by pupils has proceeded relatively evenly, because there have been no drastic differences in the assessments on different fields of the curriculum. The outcome is quite logical, because it is not likely that learners at the first stage at basic school feel any special aversion or preference towards different learning fields – according to their teachers' opinions/assessments – pupils manage equally well with all of the subjects.

As the present article focuses on the meeting of the objectives of the curriculum by boys and girls, then boys' and girls' performance in different fields of the curriculum is under closer inspection.

**Table 1.** The differences in boys' and girls' achievements – based on their teachers' assessments – appear at the end of the first stage at school.

Form 3	Learning field	Pupils gender	N	Mean	Std. Deviation	t	Sig. p
<b>Teacher</b>	Physical education	girl	26	4,66	,388	1,520	,135
		boy	26	4,42	,711		
	Art and handicraft	girl	26	4,49	,538	2,949	<b>.005</b>
		boy	26	3,97	,732		

Music	girl	25	4,75	,341	3,674	<b>.001</b>
	boy	26	4,17	,712		
Humanity studies	girl	26	4,77	,308	,493	,624
	boy	26	4,68	,892		
Natural science	girl	26	4,60	,355	1,616	,112
	boy	26	4,37	,618		
Mathematics	girl	26	4,44	,612	,877	,385
	boy	26	4,27	,754		
Foreign language	girl	24	4,52	,635	1,829	,074
	boy	25	4,17	,720		
Russian language	girl	26	4,56	,462	1,789	,082
	boy	25	4,23	,806		
Estonian language	girl	25	4,54	,524	1,892	,064
	boy	26	4,18	,797		
Educational objectives	girl	26	4,41	,575	,968	,338
	boy	26	4,20	,938		

According to the part of the table, where teachers' assessments on boys' and girls' managing in different learning fields are reflected, the marks on boys' and girls' performance in learning fields vary very little. Thus, it may be stated that boys' and girls' meeting the objectives of the curriculum – based on teachers' assessments – is generally very good. Still, it is possible to observe that teachers have assessed girls' performance in all the fields a bit higher than that of boys. Although these assessments are not statistically relevant, they are still absolutely evident. Hence the question: do teachers overestimate girls? If so, then why? The present study did not prove it; neither gave it any reasons for such assessments. There is another question: do female teachers categorise girls as „efficient“, and boys as „naughty and aggravating“ since the first years at school already? Relying on the study results that might be assumed, because earlier studies have confirmed that. At the same time, in the present study, teachers' attitudes and ideas about differences in boys' and girls' learning were not investigated; the aim was that teachers assessed the general integral managing with the subject matters of the fields of the curriculum by the particular child.

According to the other part of the Table, where statistically relevant differences in boys' and girls' meeting the objectives of the curriculum (based on teachers' assessments) are shown, it has to be stated that between two fields there is a big difference: music (boys:  $x=4,17$ ; girls:  $x=4,75$ ;  $p=.001$ ) and art & handicraft (boys:  $x=3,97$ ; girls:  $x=4,49$ ;  $p=.005$ ). It may be concluded that teachers consider boys' and girls' meeting the objectives of the curriculum at the first stage at school generally very good, and the results confirm peculiarities related to capabilities of learning.

In the case of a holistic curriculum, there is a connection between the subject matters of learning fields. Therefore, from the point of view of the idea of the study, it is essential to clarify and learn the subject matter of which a learning field supports academic managing in different learning fields, and how strong is the connection between learning fields – that was also analysed in the context of the present study. Pearson's correlation analysis was used to find out and analyse the connections between learning fields.

Analysing the results of the study of boys' finding connections and acquiring the knowledge and skills of different learning fields at the end of the first stage at school, surprising results were obtained. While in case of boys' the connections were strong or very strong, then in case of girls these were strong or weak, and comparing several learning fields, girls did not find any connections at all. Boys found very strong correlative connections (in the field of languages) acquiring the skills of different languages (e.g. between Russian and Estonian,  $r=.929$   $p<.01$ ; between Russian and foreign languages  $r=.873$   $p<.01$ , etc.), girls found strong connections in the field of languages (e.g. between Russian and Estonian,  $r=.895$   $p<.01$ ; between Russian and foreign languages,  $r=.657$   $p<.01$ , etc.) That proves that both in case of boys and girls studying in one language, a very positive basis is founded and possibilities for the development of a second language. Studying two (three) other languages, the acquisition of skills in other languages is also supported. Krashen (1982) states that the language

skills which have been acquired unconsciously initiate sayings also in the second language and influence the fluency of the use of the second language. At the same time, the language studied knowingly works in the situations, where the learner has enough time (Kebbinau, Aja, 2011, Krashen, 1982, 15–19.). In case of boys, a strong or very strong connection between the educational aims and subject matters of all the other learning fields appears ( $r = .836 - .513$ ;  $p < .01$ ) and between the subject matters of different learning fields themselves. In case of girls, there is a strong connection between the field of educational aims (similar to the boys) and the results in other learning fields of the curriculum ( $r = .732 - .423$ ;  $p < .01$ ), except physical education. In case of boys, it appears that the connections are weaker – according to teachers' assessments – between interacting learning fields: physical education with natural science ( $r = .439$   $p < .01$ ) and humanity studies ( $r = .241$   $p < .01$ ); humanity studies with art and handicraft ( $r = .388$   $p < .01$ ). In case of girls, an unexpected result is in the field of physical education, which has no connections with any other learning field. It is also amazing that very little connection between the field of music and the field of art and handicraft ( $r = .235$   $p < .01$ ) was revealed, and also foreign languages. To sum up, it has to be stated that in boys' meeting the objectives of the curriculum there are more connections between the different learning fields of the curriculum. That means that in the learning process boys use the knowledge of different learning fields connectedly, girls however, meet the objectives of the curriculum based on different subjects and do not create connections. Low figures for connections in certain learning fields (e.g. physical education in case of girls) refer to the need to concentrate more on the integration between the fields in the learning process and the improvement and application of teaching methods proceeding from the gender aspect.

### **Conclusion:**

Focusing on issues of education, from year to year more attention is paid to the science-based and systematic approach to meeting the objectives of the curriculum. At that, it is essential to concentrate on the valuation of the coherence of the process of education, and the consistent approach to learning and teaching. The documents of the European Union in the field of education, which the documents regulating the organisation of Estonian education are based, emphasise the respect for life-long learning, diverse cultural awareness and human dignity (EURYDICE, 2008/09; Kukk, 2010, OECD, 2006, EUROPEAN... 1996; UNESCO 2000). The vision of the children we want to bring up to become future citizens is a challenge to the Estonian education system. Who is ready for school, how well prepared they are for school activities and how capable they are in them – is revealed by meeting the objectives of the curriculum. Based on the assessments of class teachers, meeting the objectives of the curriculum of boys and girls at the first stage at school can be considered generally very good in all the fields of the curriculum, notwithstanding if the school time started with language immersion, or was also continued by the language immersion.

Analysing the meeting of the objectives of the curriculum by boys and girls, it has to be stated that, according to their teachers' assessments, the meeting of the objectives of the curriculum by the pupils under study is generally on a good level in all the fields of the curriculum. It has become clear from the earlier studies (Blakemore, Frith 2005: 63; Seebauer, 2008: 133–140; Watson et al. 2010) that boys' needs for physical activeness are significantly bigger than these of girls, and their fine motor skills and coordination ability are poorer than that of girls. The fact is also confirmed by the results of the present study: The assessments of the teachers in the field of boys' art and handicraft (where these skills are mostly used) were poorer than these of the girls' teachers in the same field. In the field of physical education, where big emphasis is on physical activeness and application of the ability of correlation, boys were, however, more successful in finding connections between the fields than girls: boys connect the matters studied and transfer the information into other learning fields. The connections found between the fields of the curriculum are thought-provoking: boys learning is characterised by the transfer of the knowledge acquired in one field into another field; at the same time, girls found very few connections. It is very pleasing, however, that the learning results in the field of languages of the boys and girls having participated in the language immersion programme are very good and support achieving good learning results also in other fields of the curriculum. Boys and girls have good learning results in different fields of study. Positive results in meeting the objectives of the curriculum prove generally good cooperation between teachers, and boys and girls. At the age

of primary school, managing with various tasks and works is developed. By the end of the third year at school, general competences have been well acquired. In various learning situations, pupils are very motivated, open and creative; they dare to be frank and are social. There are some difficulties in solving problem situations – it might be due to their age. The above refers to the objectives of Estonian curriculums, which have been set realistically and support the integral development of the child, and also to long-term pedagogical traditions and the vitality of language immersion methods in Estonian schools..

The main conclusion: the pupils having participated in the early language immersion programme can successfully manage with meeting the objectives of the national curriculums: the children having started learning by the language immersion methods are well prepared for school and they can excellently manage at school notwithstanding the learning language.

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## INTEGRATION OF ICT IN TEACHING MATHEMATICS

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### **Abstract:**

In the context of integration of information technology and communication in the Teaching / Learning of Mathematics, we propose a constructivist model of ICT integration in the context of mathematics learning, it aims to ensure acquisition of key concepts in mathematics to students in Moroccan middle school and improve their learning motivation, however this research target the group of learners with difficulties, lack of self-confidence due to multiple factors. How then fill in the gaps for these students? How to motivate them, give them confidence and trust in their same?

In this research we focus on mathematics in collecting, analyzing and detecting where / why / when problems arise in the majority of students, and provide remediation methods, these methods are in first degree ICT used in the mathematics education.

**Key Words:** Learner profile, Obstacles, ICT, Teacher Training, Learning

### **Introduction:**

By focusing on the intentions of the teacher in his attempts to integrate information technology and communication in the teaching and learning of mathematics in Moroccan middle school , As highlighted by several researchers conduct their research on new technologies. Programs in Morocco show a strong commitment to the integration of new technologies in education<sup>[1]</sup>. Knowing that this integration is not easy and requires research in teaching, our research has the objective to provide elements for the integration of these new technologies in the teaching of mathematics, then how ICT use within the education system can change the nature of learning? Is their use does not alter the concepts and methods? What is their impact on students and teachers? (Lagrange et al, 2001)

We undertake research aimed at analyzing the obstacles that may hinder the effective use of this tool, the new dimensions of integration in the classroom, and the difficulties requiring the intervention of ICT.

### **Main Text:**

The study is done on the high school college especially because it presents the period preceding the decision of students about their future course student, to prepare the prosecution of scientific or less scientific way in which mathematics is important and even essential.

we cannot deny that mathematics is deemed to be a difficult subject, they are preceded by a reputation and negative prejudices making this discipline repulsive, it is theoretically necessary to provide logical reasoning and simple restitution of knowledge, making it as a particular subject compared to other subjects where one can get good results just by learning its course.

Many people say they just do not like mathematics, often without bothering to explain their aversion. However, we can observe nature of adjectives frequently joined to this subject : mathematics would among other things, dry, cold, austere ... Even the philosopher and mathematician *Bertrand Russell* attributed the two last adjectives in a sentence often quoted: "*The mathematics possesses not only truth, but supreme beauty, a beauty cold and austere, like that of a sculpture ...*"<sup>[2]</sup> "

[1]. GENIE program: Generalization of Information Technologies and Communication in Education in Morocco)

Students who have chosen their path based on prejudice or false convictions are many students with low motivation and poor results [Figure .1], the research target category of learners have difficulty of imagining and having a lack of confidence due to multiple factors, such as being talented but having trouble concentrating or factors due to the transmission of knowledge (teaching error) depending to training teachers.

Various factors influence the teaching and learning of mathematics. The results of international surveys<sup>[3]</sup> indicate that the learning outcomes are related to student's family background factor and adolescence, especially the secondary collegiate studies coincide with adolescence [Figure .2], but also the quality of education, as well as certain characteristics of the structure and organization of education systems.

A good mathematical education of teachers requires special mathematical knowledge, specific presentations of mathematics they will teach and also conditions knowledge of teaching these lessons. Fight against failure [Figure.1] Enhance the learning of mathematics at their leaders of tomorrow is the major objective of this research especially the preeminence of science in Morocco is threatened for various reasons, including poor achievement in science education by students secondary [figure.7], Using different methods (classroom observations, interviews...), we look at how new balances manage to install. Understood that mathematics are the basis of all professions so reducing the number of low achievers in mathematics leads to an increase in the number of graduates in mathematics disciplines nature, especially the branch of science that holds the largest share of distribution of students per branch [Figure.3]. the mathematical form young minds to intellectual rigor, logical reasoning, the argument as to understand numerical data, ie the process, interpret, present, mastering basic geometric figures. Mathematical difficulties are many and varied especially in geometry such courses requiring more concentration and imagination to a particular ability in space to demonstrate a solution sought.

**Difficulties** linked to representation, inability to correctly represent objects in space or in time, treatment of curves encountered in analysis. However, like any learning, these difficulties can be overcome.

Skills necessary for the practice of mathematics are not necessarily related to innate and can be acquired with practice and habit and then we suggest as a means: "**The information technology and communication in the mathematics**", view that the contribution of ICT is essential today, computers and smart objects are in the process of changing our daily habits, our ways of working, our relationships and leisure

citizen faces figures, geometric graphs is mostly through software and often on a screen. It is essential that young people (for whom the use of a keyboard and a screen consultation are natural) receive a mathematical integrating these tools.

Thereby ICT can ensure the acquisition of key concepts in mathematics among students in secondary college and improve their learning motivation and of course contribute to the success of students deciding their future with total certainty to scientific expertise, the use of multimedia offers teachers the possibility of dynamic images played by the simulation of theoretical concepts difficult to grasp otherwise (Perreault, 2000a) using dynamic geometry software for example.

<sup>[2]</sup> Russell, *Mysticism and Logic and Other Essays*, Londres, Longmans, Green, 1918, chap. 4 (« The Study of Mathematics »)

[3].[https://www.google.com/url?sa=f&rct=j&url=http://eacea.ec.europa.eu/education/eurydice/documents/thematic\\_reports/132FR.pdf&q=&esrc=s&ei=XEFUUYPOJqO80QXdwYG4BA&usg=AFQjCNGK77aq5UmI-juMhdVjNQLCfFEMtQ](https://www.google.com/url?sa=f&rct=j&url=http://eacea.ec.europa.eu/education/eurydice/documents/thematic_reports/132FR.pdf&q=&esrc=s&ei=XEFUUYPOJqO80QXdwYG4BA&usg=AFQjCNGK77aq5UmI-juMhdVjNQLCfFEMtQ)

[Figure .1]: Evolution of global data on the secondary college in Morocco

[Figure .2]: Distribution students by college age of public school

The key actually is not calculating "laid", though there is an "episode" in the series of essential learnings in the area of computing (for training). The key is to master mental arithmetic and rational use of a calculator with control procedures. If the calculation itself is done (and done well) by a machine, the task of man is in control of her work smart. This requires the construction of other skills that traditional skills which allows students to take a proactive role because it is a decision maker in the process of knowledge construction, although it is accompanied by the teacher, this idea leads us to the definition of the **constructivist model** which has the advantage of breaking with the traditional approach to teaching.

This model gives priority to the development of didactic sequences that promote the establishment of a new relationship to knowledge among learners, and in which knowledge is constructed by students then interviewed the entire ICT and use of constructivist can guarantee satisfactory results in order to have a more effective learning of mathematics.

some definitions of constructivism:

- The constructivistic approach to teaching and learning is based on a combination of a subset of research within cognitive psychology and a subset of research within social psychology <sup>[4]</sup>, <http://chiron.valdosta.edu/whuitt/col/cogsys/construct.html>
- Constructivism is an approach to teaching based on research about how people learn. Many researchers say that each individual constructs knowledge rather than receiving it from others.
- constructive teaching is based on the belief that students learn best when they gain knowledge through exploration and active learning.
- Education is centered on themes and concepts and the connections between them, rather than isolated information.
- Constructivism is a theory of learning based on the idea that knowledge is constructed by the knower based on mental activity. Learners are considered to be active organisms seeking meaning. Constructions of meaning may initially bear little relationship to reality (as in the naive theories of children), but will become increasing more complex, differentiated and realistic as time goes<sup>[5]</sup>.

There are several guiding principles of constructivism:

- Learning is a search for meaning. Therefore, learning must start with the issues around which students are actively trying to construct meaning.
- Meaning requires understanding wholes as well as parts. And parts must be understood in the context of wholes. Therefore, the learning process focuses on primary concepts, not isolated facts.
- Since education is inherently interdisciplinary, the only valuable way to measure learning is to make the assessment part of the learning process, ensuring it provides students with information on the quality of their learning.

### Conclusion:

The use of computers in mathematics education falls within the scope of practice innovantes. It is an educational approach that gives the teacher the opportunity to invest in multidisciplinary teams, therefore a source of mutual enrichment.

A majority of teachers are convinced of the important role played by the use of the tool in the classroom, however, a number of barriers hinder the effective integration of computers in the classroom. Can be mentioned in this context: the degree of control of the computer, computer hardware maintenance, control of appropriate software and factors related to the management of time and content. The sources of these difficulties arising lack of teacher training in this area, insufficient computers for students ...

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[Figure.1]: Evolution of global data on the secondary college in Morocco

[Figure.3]: Distribution of students by branches

[Figure.7]: of repeaters per level (public) secondary qualifying

Effective integration of computers in the classroom, thus requires a radical change in design of all actors, even the teaching that the level of contents of the form of activities. The new role of the teacher in the called teaching situation requires new skills that teachers must acquire. It requires a significant personal engagement on his part and that traditional environment. Personal work of any teacher can be facilitated by the collaboration and exchange experiences with colleagues from the teaching team.

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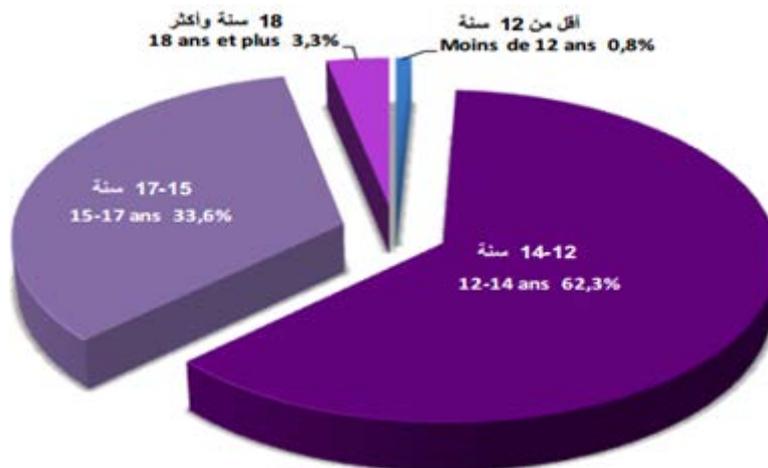
[4]. <http://chiron.valdosta.edu/whuitt/col/cogsys/construct.html>

[5]. <http://www.usask.ca/education/coursework/802papers/Skaalid/definition.html>

**Figures:**

		2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Etablissements	المؤسسات				414	515	640	696	747
	Collèges								
	Total	1 497	1 794	2 131	3 240	3 800	3 867	4 361	5 064
Salles	Di nouv. Créat.							66	89
	Total	895	1 151	1 470	2 000	2 552	2 738	3 258	3 888
Classes	الصفوف								
	Total	8 603	11 207	15 498	20 873	21 373	25 760	30 252	34 050
Nouveaux inscrits	المتقدمون الجدد								
	Filles	1 094	1 234	1 375	1 664	1 860	1 920	2 164	2 364
	Total	27 167	33 611	42 401	55 571	59 202	74 789	85 251	96 475
Elèves	التلاميذ								
	Total	8 537	10 174	13 008	16 580	17 778	23 945	27 262	30 333
	Filles	4 207	4 970	6 233	7 916	8 900	10 000	11 438	12 722
Elèves 3ème année	تلاميذ السنة الثالثة								
	Total	3 454	4 211	5 108			11 804	15 438	16 822
	Filles	1 135	1 385	1 688			3 566	5 114	5 536
Enseignants	هيئة التدريس								
	Total	434	542	681					3 870
	Filles	204	269	333					2 232
Personnel administratif	هيئة الإدارة								
	Total	360	497	560					6 946
	Filles	159	201	267					3 558

**Figure.1 :** Evolution of global data on the secondary college in Morocco



**Figure.2 :** Distribution of public school students by college age

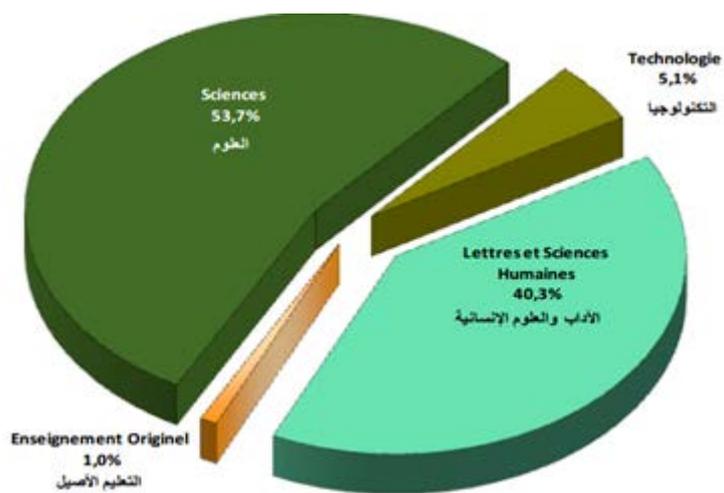


Figure.3 : Distribution of students by branches

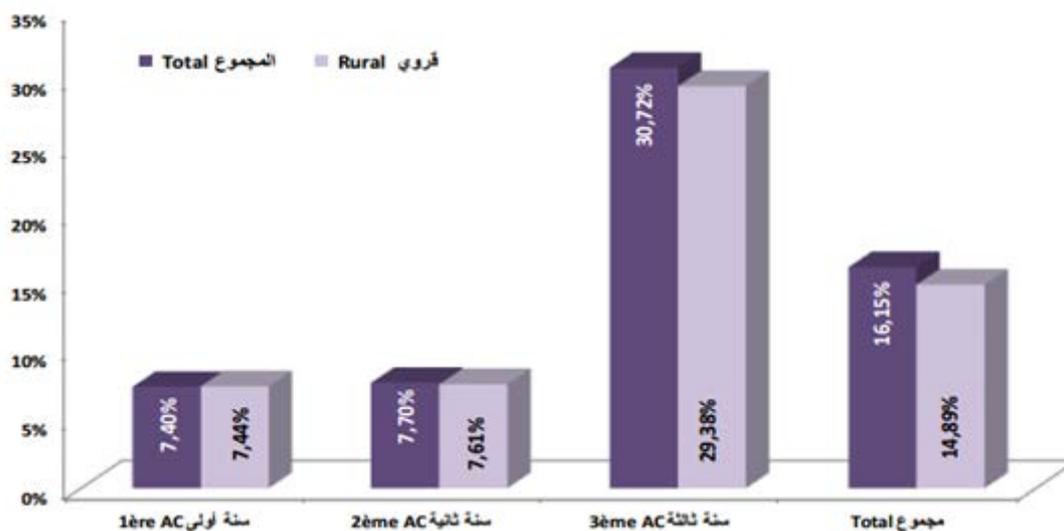


Figure.5 : roportion of repeaters in secondary college

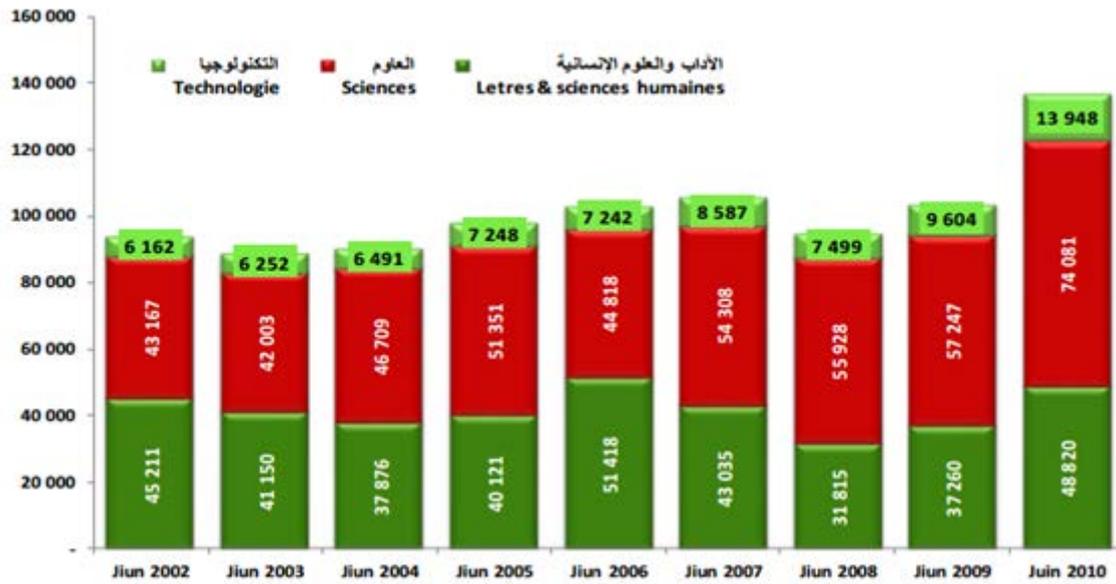


Figure.6 : Evolution of the numbers of graduates by series

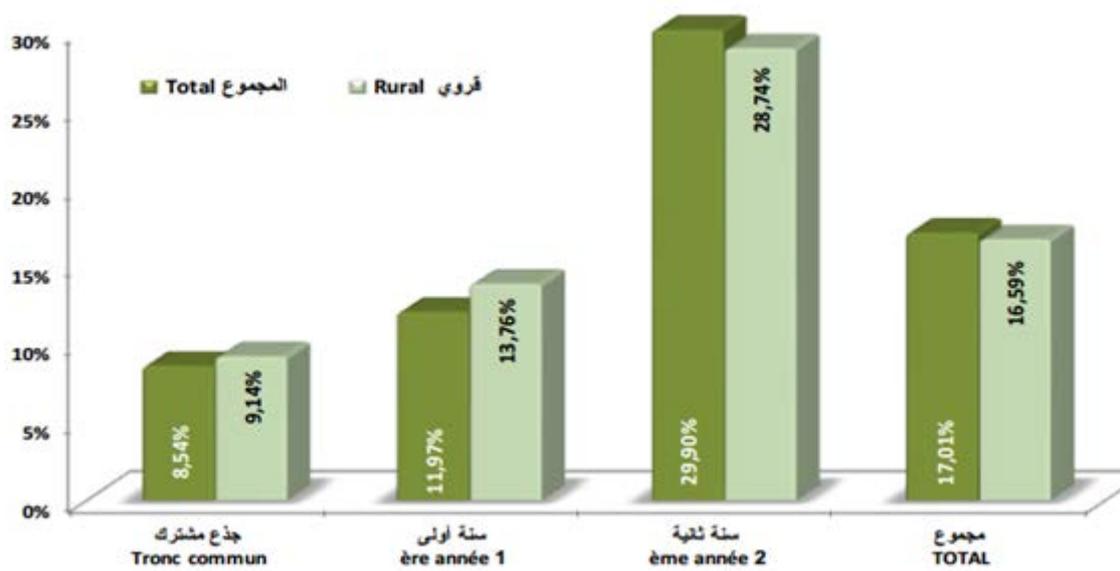


Figure.7 : Share of repeaters per level (public) secondary qualifying

## PROJECT MANAGEMENT, NETWORKS AND VALUE CREATION IN UNIVERSITY SPIN OFFS

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### Abstract:

The paper analyses the operational characteristics of university spin offs and the features of their networks in some territorial clusters. In particular, it observes the system of intangible resources the enterprise manages, then the structure and the impact on the business performances of the applied project management models as well as the features of the network of relations the managers created. The sample consists of 134 enterprises, out of them 105 are located in five clusters of academic spin offs, which have been selected taking into account the territorial density and the most prolific universities in Italy, in improving the of the research by starting up a business. The research questions are expressed in the following way: in a specific business field, what role does the university spin off play within the network of relations with external stakeholders? What intangible resources are essential to success? How does the project management contribute to the efficiency of the business action? The data useful to the empirical analysis are obtained from questionnaires and document sources drawn from national data bases, corporate, ministerial and university sites. Social network and correlation analyses have been carried out on the sample; empirical evidences lead to observations which are useful to understand excellences/critical situations of spin offs in specific territorial clusters, with useful implications for the management of research processes.

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**Key Words:** University spin off, networks, project management, corporate governance, intangible assets

### 1. Introduction

University spin offs, as a form of technological transfer from universities to the market, represents a very important phenomenon for the economic growth, in particular in those contexts where competitiveness is based upon knowledge and innovation and where capital markets are not very developed and not very dynamic. Given the urgent expectations of development, university institutions and bodies of research are charged with the difficult task to promote and to facilitate local development, in compliance with the national strategic and political priorities. However, in our country different experiences of academic entrepreneurship show problems related to development, unsatisfactory economic and financial performances and an early disappearance from the exchange markets (Piccaluga and Balderi, 2006; Netval, 2012). The inner spin off critical aspects emphasize the difference in development between the excellence of research output, the units of origin provides, and the economic and financial performance resulting from its own application as an output for the market. Literature numbers among the causes the motivational factors driving to start a spin off, the scholars' business skills and the characteristics of those who use the technological applications spin offs execute. However, although academic entrepreneurship has been widely examined, literature points out some research deficiencies which can be expressed in the following way: the observed samples for the quantity surveys are small sized; university social networks and those of the researcher-businessman are poorly studied; it disregards the different environmental influences as well as the heterogeneity of the evolution processes of those enterprises working in not very technologically advanced contexts; the growth and performance courses, the spin off achieves after the end of the parent organization relation, are not very clear. Given that the characteristics of the

economic system have a direct impact on the functioning of the enterprises working there, Italy is described more as a relation-oriented system than as a market-oriented one. (Weimer and Pape, 1999), since we notice a poor dynamism of financial markets that obliges enterprises to make continually use of relations with specific external stakeholders who hold the strategic resources necessary to their working. According to literature, this phenomenon is explained by the *resource dependence theory* (Pfeffer and Salancik, 1978), which, together with the *dynamic capabilities vision* (Teece, Pisano and Suen, 1990, 1997), represents the theoretical reference point for this research that focuses on essential factors for the effective management of research projects within spin offs and of strategic resources for a correct business operation. Considering that the dependence on some resources modifies the power relations within the context and starts formal and stable relations, the social networks of some enterprises are also examined in order to understand their impact on spin off performances.

## 2. The strategic intangible assets for spin offs

The university spin off <sup>219</sup> is undeniably described as a knowledge based enterprise which bases its functioning on knowledge included in processes, in human resources and in relations set up with stakeholders of different kind. Their complex management partially indicates the uncertainties characterizing the management of these resources; as a matter of fact, no theory provides shared scientific interpretation or a consistent composition of studies on intangible assets, showing their characteristics and helping their understanding, even if during the latest decade the effort was made mainly to define the subject matter and the content of the resources at issue. Among the different branches of research, we include the *dynamic capabilities approach*, which develops the *resource based view*; it states that in a dynamic or even complex context, the primary source of survival and of success for the enterprise is its capacity to build, to integrate and to adapt the financial and human resources, intangible and tangible assets, its own ones or its partners', in order to achieve a dynamic consistency with the external environment. In this perspective, the management body of the enterprise is described as the unit charged to allocate and to manage the portfolio of tangible, financial and intangible assets; among them we count the intangible assets, which can be assimilated to commodities, and other resources that the enterprise cannot easily acquire and transfer by interacting with other systems, such as business reputation, leadership style, innovation capacity and relations themselves. If we link this approach to the resource dependence theory, we emphasize the role played by the relations the enterprise management body has established in order to obtain and to strengthen the resources missing within the enterprise. Consequently, the management body plays the role of coordinator of those units where the different resources are allocated, directing them towards a shared growth path, encouraging their internal development and deciding to transfer the relations with those units which are not able to use and to increase the relevant resources. Within spin off enterprises, both knowledge resources typical of the organization, such as patents and information, and above all its human resources' skills are strategically relevant as well as the interaction and relation dynamics with external stakeholders; as a matter of fact, considering the relational nature of the process to establish the enterprise, we think that the network of relations established from the startup phase plays an important role to achieve a dynamic balance for the spin off, but also to establish other social and economic entities in the territory, such as business incubators, consortia, technological parks and alike. Skipping the wide framework of intangibles, this work focuses on some categories which are essential to the functioning of these enterprises: human resources, leadership and communication styles in the research team, external relations. Literature underlines that the human resource within spin offs implies a crucial duality with an impact on its performances: it has to fulfill a business function together with an academic function of research, teaching and sometimes administration as well. On one hand, a researcher's good scientific performance ensures the quality of knowledge applied to operational processes of the spin off; on the other hand, many works underline that the specialty of researchers' individual knowledge requires the recruitment of inter-disciplinary skills and knowledge, both in the academic field and in the business and professional sector, in order to manage the business complexity to protect the different stakeholders' interests. Therefore, the previous human resources' skills become important as well as their technical and scientific quality and, overall, the

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<sup>219</sup> In this paper the concept of university is meant to summarize both categories of spin off: university and academic.

level of complementarity of knowledge the business management involves. Many works of the branch of research on entrepreneurship and on innovations study the factors determining the individual business tendency (Lundström and Stevenson, 2005; Davidsson, 2004; Wright *et al.*, 2007); among them, they mention the capacity to acknowledge a market deficiency or a level of suboptimal use of the existing resources, which depends on individuals' sensitivity and also on individuals skills; with this regards, the branch of study with a sociological background ascribes among these factors the need for achievement and the tendency to risk, the attitude for command and the capacity to control, the tendency to be effective and successful, the mastery of additional information and technical skills, the decision making rationality but also creativity and optimism. The Austrian school, instead, considers the ownership of exclusive and complete information concerning business and market as a decisive factor to identify a business opportunity (Hayek, 1945; Kirzner, 1997), both in order to establish the enterprise and to lead it to success. Some studies (Wright *et al.*, 2007) show that the essential information is obtained through the network of social relations the entrepreneur establishes whether he/she is an individual or a collective entity. De Koning reminds, in fact, three cognitive and social processes, which are essential for the entrepreneur during the startup and are developed within a wide network of more or less stable external relations: information gathering, its processing by means of a verbal comparison and resource check. This network has to include long term connections with stakeholders who are not involved in the enterprise, subjects being contacted to obtain the required resources to single out the opportunity, the enterprise members and a remaining group of stakeholders to start weak relations with, although they are necessary to obtain general information. (De Koning, 1999). However, we do not study sufficiently what skills among these allow, over the time, to manage an enterprise effectively; likewise, a poor attention is paid to the literature of the social network of the spin off during the phase following the startup (Grandi and Grimaldi, 2003), in particular when the parent organization is not included into the corporate structure anymore. The reason for the gap among the scientific performance of the research unit, the spin off economic and financial performance and the local development is also poorly studied, in particular in contexts which are less vital from the technological and capital market points of view. We consider that it is also possible to identify, among spin off enterprises, networks within the research team, being characterized by interactions based upon the level of heterogeneity of knowledge; therefore we can study the network of relations with external stakeholders both taking into account the scientific collaborations themselves and the relations established within the management body; the latter ones often show again the personal relations of members set up for scientific or professional purposes (Grandi and Grimaldi, 2003; p. 331). According to the studies on corporate governance, the composition of the management bodies shows the requests of stakeholders, who are themselves holders of interests concerning their own asset of more or less formal relations, too. This asset of relations is also connected to the *interlocking directories phenomenon* that, in compliance with the *resource-dependency theory*, represents one of the mostly widespread procedures to manage dependencies on external environment as well as to manage uncertainties and costs related to the acquisition of crucial resources. Some studies show, in fact, that the improvement of business performance depends on the central position of the enterprise within a network of managers (Zona and Gnan, 2009); this network results from the capacity of the enterprise to organize its relations according to the dependencies started in the past. This phenomenon is, however, examined making often reference to the combinations between industries and credit institutions, considering as critical the dependency on financial resources only. For this reason, this work aims to extend the observation to the complex network of enterprises and organizations holding all the strategic assets for a spin off; in particular we take into account that, in this field, as previously stated, the relations established with scholars, who are involved in the management body, show again the previous relations set up for scientific purposes and that they partially depend also upon the expression of roles the founders want in order to develop the research project in the best way. Therefore, not only the enterprises in the financial sector are essential, but also the service enterprises in sectors connected with the spin off and the public and private organizations which work as facilitators of the research applications. Given these remarks, we can formulate some first working hypothesis:

*hp1a) the presence of multiple skills within the spin off helps to establish long term relations.*

*hp1b) the central positioning of the spin off managers within its network of relations has a positive impact on the economic performance of the enterprise.*

### **3. The relationship between spin offs and local development: the dilemma between dependencies and incentives for development**

It is essential to understand what resources are necessary for the right operation of spin offs in order to single out the suitable management and development paths for the spin off itself, since it aims to help the social and economic growth of the context. As a matter of fact, the reason why, during the latest decade, the academic entrepreneurship quickly increased also justifies the will to help the development; this is also showed by the *top-down* nature of the process to establish spin offs in Europe, unlike what happened in the States. In fact, the study by Malerba *et al* (1995) underlines that in Italy the main cause for the delay of this phenomenon can be partially found in the national business structure, which is mainly characterized by small and medium enterprises (SMEs) incapable to support significant investments in medium and long term R&D programs; at the same time, they are not very involved by the universities themselves who consider the cooperation with big multinational companies as more prestigious and effective. On one hand, the establishment of an academic spin off is connected with the skills of the promoters of the technological transfer to the facilities of origin, on the other hand we think that the features and the resources available in the reference environment are essential for an effective business action on the local economic growth. As a matter of fact, on one hand, the missing managerial and marketing skills of the members of the technological transfer offices (TTO), the studies often underlined (Whight *et al.*, 2004), lead the universities to prefer the licenses to market their own knowledge, rather than establishing an enterprise, and not to develop appropriate policies and infrastructures to support spin offs. On the other hand, the presence of an active and cooperative business culture in a territory is very important to encourage universities to develop research and to apply, over the time, the technology the spin off has developed. Likewise, an advanced legislative system, the availability of financial resources and the presence of policies supporting business are considered as necessary factors to establish an enterprise and to its survival. It is not by chance whether in Italy most university spin offs are gathered in areas where there is a high concentration of enterprises, which are often connected by facilitators of development such as research consortia, incubators, technological parks; that leads to consider these fields as delimited clusters we can suppose what follows for:

*hp2a) a spin off, established in areas with a higher business concentration and resulting from universities with a greater business guidance, achieves better performances and develops a wider network of relations.*

Those studies, which focus on the effectiveness of the business action executed by universities, conventionally refer to indicators that are distinguished in terms of input and others in terms of output: the former ones are linked to factors determining the effectiveness of TTOs such as the funds available for investments in R&D, for services supporting technological transfer processes and for the supporting infrastructures, the quantity and the quality of the TTOs staff and the pursued strategy. The data concerning the typologies and the number of executed transfer processes prevail among the output measures together with the earnings gained from their commercial use, the scientific visibility the research unit obtained and the collaborations started with external users (Bozeman, 2000; Debackere and Veugelers, 2005). The latest ones refer to measures applied also to observe the impact the technological transfer processes have on the reference context, which is generally linked with the level of social and economic development, that can be observed in terms of new products or executed processes, in terms of GDP growth, of more skilled technical and scientific staff who is available and the resulting increase of employment, of new enterprises, of development rate for already existing enterprises and alike. (Anderson *et al.*, 2007). However, since this is a widely international research which is carried out among enterprises established with a university spin off, we think that the economic and social externalities of the research have an impact on much wider fields than the territories of origin and above all with very bleared borders; consequently it makes the effectiveness of the business action be detectable marginally only. For the purposes of the local development, it is important to take into account also the impact and the benefit the knowledge which

is generated by the spin off and often coded in *patents*, produces towards the market; the level of use of this technology can be observed in terms of turnover or license contracts signed by the spin off and the users in order to optimize the circulating products or processes, up to achieve output which are difficult to quantify such as local wealth. Often, in order to assess the performance of a research unit we focus on the result the process achieved, which can be translated into the patent, without examining the process effectiveness for the market. The patent and the possession of unique scientific and technical skills represent essential requirements to attract crucial resources, such as financial resources or other human capital, which often determine the spin off dependency on the context where it works. In addition to the application of strategies concerning the interlocking directories, holding these inimitable resources can work as a tool to manage such a dependence, in particular if we consider that the governance of networks based upon knowledge fusion concern those subjects who contribute to the process with the main strategic assets. To appreciate the impact on the development of these enterprises, we also have to take into account their small sizes and their growth rate. Within the Italian scenario, the spin offs are mainly characterized by the SME features from the size and management point of view. As far as the latest feature is concerned, several shared doctrines show that it is possible to single out the nature of SMEs by combining the quantity variables concerning the dimension and those concerning management which show that, within a SME, ownership and management tend to coincide, thus determining the repetition of personal styles in business management. That implies that, within a SME, personal and subjective events of the ownership are absolutely essential during the establishment, even if during the growth they are replaced by a more managerial aspect. As for academic spin off enterprises, this statement is fully accepted; some doubts arose as for the strictly university setting where researcher's personal styles as well as those of the involved staff are faded by the presence of other stakeholders and by the institutional nature itself of the university joining the founders' team. However, even for a university spin off, hybrid styles take shape, where the manager is widely affected by the impacts of the ownership who controls and where there are no formal structures to distribute and to assign tasks. According to some authors, it is actually the fear to delegate the control and the decision making power that moderates the growth of several small enterprises which are still linked to personal motivations of the ownership who wants to keep the small size. That would determine the presence of the so called stable enterprises, anchored to low levels of operational risks, where the manager profile is taken to the extremes and finds within the enterprise a tool to diversify his/her interests and his/her capabilities, unlike other small enterprises which start a quick development by increasing the risk profiles and by evolving towards managerial models; this depends not only on a manager's choice, but also on the structural features of the sector it belongs to imposing this development. At the beginning, the literature on spin offs acknowledged these enterprises' capability to grow quickly by virtue of their highly technological and innovative nature; these enterprises are subject to a quick development in comparison with those working in advanced sectors (Shane, 2004); however, over the time, the empirical evidences have showed some doubts concerning this capacity to grow of spin offs (Wright et al, 2007) which, on the contrary, have proven to achieve weak performances and strong financial tensions hampering growth, in particular in Europe (Autio and Lumme, 1998). An additional factor stopping the growth of university spin offs is linked to the often hybrid nature of the founder team, who thinks it is difficult for the human resource to combine the entrepreneur's role and the scholar-researcher's one. For this purpose, it is essential for this enterprise's core processes to have a clear cut structure and a well-defined assignment of roles, depending on acquired skills, as well as an appropriate in-house communication among the members, a reliable leadership style and a cohesive organizational culture.

#### **4. Spin-offs and emerging strategic networks of knowledge dissemination**

Several scholars agree on the fact that *knowledge sharing* can improve an organisation's performance, promote its competitive advantage, strengthen learning processes, stimulate innovation skills and, all in all, protect its survival (Lesser and Storck, 2001; Argote and Ingram, 2000; Argote, *Organizational* 1999; Powell et al., 1996; Baum et al., 1998). At the same time, the vast literature devoted to pinpoint the success factors behind the knowledge sharing process (Burt, 2004; Cross and Cummings, 2004; Cummings, 2004; Hansen, 1999; 2002; Levin and Cross, 2004; Owen and Powell, 2004; Reagans and Mcevily, 2003; Ardichvili et al., 2003; Stenmark, 2000) has highlighted, among

other things, the importance of the position occupied by the node within a network. In particular, some scholars have shown that the diversity of network members can generate particularly positive effects on the *knowledge transferring* process (Cummings, 2004). For instance, a study by Cummings takes into account four specific variables: demographic diversity (i.e. age, genre and working years); geographical diversity; functional diversity (i.e. the tasks assigned to the different working groups) and management diversity (i.e. the type of manager to whom the subject has to respond directly). From the results of this study it is possible to argue that the heterogeneous nature of the members within a network brings positive outcomes to the process related to knowledge transferring. This reinforces the hypothesis of a real and positive correlation between the diversification of knowledge and competencies in a spin-off's board of directors of and the organisation's performance. In addition, it helps to appreciate why spin-off companies get involved more than ever in aggregation and mutual collaboration processes: such strategic conducts are due to the need to develop technological innovation. To this end, action is taken fundamentally on three economic processes: generating knowledge, promoting developed innovations and competencies, exploiting the produced innovations commercially (Huber, 1991). The generation of knowledge represents a critical and significant moment for the competitiveness of a university spin-off (Nonaka, 1991; McCampbell et al., 1999; Snowden, 1998); it results from a process in which there is the simultaneous involvement of both university institutions and companies, which work all together in a number of synergic activities, experimenting and combining techniques and resources, as well as in many other initiatives with a high added value. With particular reference to the academic sector, results greatly depend on both the quality of academic staff and the remaining human heritage, and the available economic resources – if limited, these may preclude the exploration of potentially fruitful avenues, thus forcing the research organisation to focus on projects for which there exists a greater degree of specialisation. Besides being created and developed, knowledge should also be promoted. This process is as important as the generation of knowledge and it is mostly linked to a set of formal and informal organisational conditions that are suitable to optimise and boost in the long run the scientific and technological outcomes achieved.

Several scholars highlight that the process whereby knowledge is promoted cannot be considered from an atomistic perspective with each research unit acting in an autonomous and isolated way. On the contrary, this process must be conceived of as the result of an increasingly widespread exchange between the different networks (Hakansson, 1987; 1990) The more a spin-off unit is located at the centre of a network, the more it will be able to exploit the knowledge produced by the other units, provided that it is equipped with adequate learning skills. Tsai, for example, analysed the impact of *knowledge transferring* on the business units included in an intra-organisational network and concluded that '*...organizational units can produce more innovations and enjoy better performance if they occupy central network positions that provide access to new knowledge developed by other units. This effect, however, depends on units' absorptive capacity, or ability to successfully replicate new knowledge*' (Tsai, 2001).

With particular reference to the university sector and the ways in which technological transferring can take place towards the external environment, eight main transfer channels have been defined in the relevant literature: mobility of highly qualified students; scientific publications; interactions between knowledge creators and users; research programmes supported by private subjects; multilevel agreements; consultancy provided by academicians to private subjects; entrepreneurial activities developed by lecturers and students; licensing for enterprises (Academy of Science, 2010).

The exploitation of knowledge is strictly linked to the knowledge promotion process and takes place through the growth and subsequent marketing of inventions. Within the specific context of academic spin-offs, an important function is fulfilled by TTOs, whose main mission can be identified in the promotion of research and the related outcomes, which will be the object of protection, promotion and transfer (Conti et al., 2011). However, alternative means of technological transfer are mentioned in the literature, e.g. publications, patents, consultancy, informal meetings, training, licensing, joint ventures, exchange of human resources, research contracts, and recruitment (Agrawal, 2001; Cohen et al., 2002). Spin-off companies are motivated to establish collaboration relations in order to make up for the impossibility to develop all the possible competencies in an autonomous

way. This situation is well-known, even more so due to globalisation processes and the increasingly faster pace of technological innovation advancement, thus making it necessary to deal with both the rapid obsolescence of research, and the increasing costs of innovation and development (Cainarca et al., 1992). In the era of *knowledge economy* (Drucker, 1969), the production of knowledge is less and less dependent on the processes that a company can put forward on an individual and autonomous basis, and it is increasingly linked to the reticular structures and similar configurations that can be adopted by a spin-off company (Ricciardi, 2003). Therefore, within a company, in addition to the value creation systems that are based on autonomous processes of conception and development of new knowledge and skills, there is the urgent need to implement management procedures as well as harmonisation arrangements of such knowledge and skills, so as to improve their capacity to adjust to possible changes in the relevant environment. This approach is called *knowledge-based theory* and implies that knowledge transfer takes place both within the company and between different spin-off companies (Grant, 1996). This can be effectively integrated into the perspective of *embeddedness*, which analyses the impact of economic actions in the social context in which they emerge and develop. By analysing the flows that directly unite two actors (*relational embeddedness*) or the flows connecting a number of actors in an indirect or mediated way (*structural embeddedness*) it is possible to ascertain whether the knowledge and skills possessed by other organisations and companies are actually accessible and to what extent; it is also possible to determine the effect of such relations on the production of new knowledge (Levanti, 2008;2010). In this sense companies have devised and espoused the notion of technological transfer, which is intended as '*the movement of technological and technology – related organizational know – how among partners (individuals, institutions, and enterprises) in order to enhance at least one partner's knowledge and expertise and strengthen each partner's competitive position*'. Technology transfer, therefore, consists in an economic and organisational process aimed at the development and marketing of practical applications and products. This must be perceived as the fruit of a knowledge core obtained thanks to R&D activities. In the light of the above, it is possible to suppose that the more spin-off technological transfer is extended on the market, the better the relevant performance will be in qualitative and quantitative terms. In any case, it is important to emphasise that although university spin-offs and companies, with special reference to *corporate spin-offs*, share many characteristics, they also show important differences: on the one hand, *corporate spin-offs* tend to keep research and technologies within the boundaries of the company with an exclusive internal use; on the other hand, university *spin-offs* are encouraged to transfer their results beyond the institutional environment. Hence, when analysing a spin-off's performance it is important to adopt both quantitative and qualitative variables; similarly, together with the traditional economic-financial performance indicators, other indicators of a qualitative nature should be considered, as they can be useful to verify the research outcomes and to what extent these are spread in the wider social context. The indicator 'interdisciplinarity of academicians' has been designed to determine whether the board of directors of a spin-off includes academicians belonging to more fields (in the Italian academic system these are known as 'scientific-disciplinary fields' (SSD). The values 0 and 1 adopted in this dichotomous variable indicate the existence of interdisciplinarity or the lack thereof respectively.

On the other hand, the indicator known as 'composition of the board of directors' has been designed on the basis of the composition of the board of directors of each spin-off: besides retrieving information on the background of each director, it makes it possible to verify the availability of diversified knowledge and skills. Another aim of the study is also to verify the actual existence of a direct correlation between the performance of a spin-off and its ability to transfer the research outcomes into the cluster, and thus to take action on '[...] the development processes of the different national economies against the direct responsibility in the creation activities of ideas and useful knowledge for the entire society' (Cicchetti et al., 2007). The research hypothesis is in line with the observation that '*research knowledge is increasingly considered as the driving force leading to higher productivity, higher and more radical technological innovations, and economic growth*' (Mustar et al., 2007).

## 5. Research Project Management in University Spin-offs

Following the introduction and development of the concept of complexity, several modern theoretical cornerstone principles have been challenged over the last few decades, including the possibility to base cognitive processes on linear cause-effect relationships and to break down observed phenomena into mechanisms that can, in turn, be broken down, analysed and – if applicable – modified through equally linear technical devices. The establishment of an epistemological scenario whereby reality is characterised by intrinsic uncertainty has required a radically new perspective also in the way projects are understood, as regards both the observation and interpretation stages. Moreover, the analysis of complexity dynamics has highlighted the invalidity of taking one single, overriding assessment approach capable of levelling differences or eliminating any juxtapositions through the co-existence of various perspectives, each resulting from a specific cognitive map. The cognitive paths that intersect in complex environments are interactive and follow circular routes - for many authors they are one of the few viable ways of understanding the numerous and oftentimes juxtaposed logical processes applied. Against this background, the cognitive process no longer consists in a certain, exhaustive definition of the item observed and of the related environment; on the contrary, it may be compared to an analysis of the common aspects, differences and constructive interactions between and among the various logical approaches in place (Ceruti, 1997). In light of the considerations above, the operating process becomes a necessary and vital stage for the implementation of knowledge in highly complex scenarios.

This research stems from the assumption that Project Management can prove to be a valid tool capable of changing and innovating the management of university spin-offs, thereby improving their effectiveness and performances, although it obviously needs to be adapted to the specific features of the project involved, since its application as a mere management tool would be likely bound to failure.

Many authors agree in seeing research as an activity characterised by creativity, innovation and complexity – all aspects that differentiate it from traditional projects, to which the traditional Project Management theory is normally applied. Since research projects are by their nature intellectual, non-routine activities, a key-role is played by the Human Resources involved, who will have to develop concepts like: the cooperation between and among research teams, team building, team climate, team environment, the creation of fruitful relationships with the stakeholders, and the sharing of mental and cognitive models between and among team members. Indeed, being able to create an atmosphere of cooperation by building teams having a high level of responsibility and a shared mental model is described in the literature as the prime task of the leader of a research project.

The goal of this research is to verify how a responsible governance of research bodies can be implemented through an effective and efficient use of Research Project Management (RPM) as a project management innovation tool. As regards *Research Project Management*, a truly flexible and incremental approach needs to be defined, capable - starting from the identification of problems – of outlining applicable solutions while allowing, by means of dedicated analyses, to understand how problems and solutions are mutually dependant, so as to contribute to the definition of a coordinated series of decisions taking into account the various stakeholders involved. According to this kind of approach, specifically conceived by Friend e Jessop, the situations characterised by continuous change call for a prompt identification – in line with the ongoing changes – of a constantly new balance between the various aspects of the decision-making process. In this respect, the project manager is faced with a complex, multi-faceted decision-making scenario, where any attempts to maintain stable lines of action clash with both the positions of the other decision-makers and the pressure exerted by complexity, urgency, and uncertainty. The way the decision-making process evolves will substantially result from the outcome of the interactions described above.

## 6. The Research: Method, Sample, Variables

The assumptions made are tested by analysing a sample of 134 companies, 29 of which formed a control group and 105 belonged to five clusters of university spin-offs promoted or created in those Italian universities recording the highest business-creation rate, taken from the 2012 Netval database. Data were collected through a questionnaire, documentation analysis, and national data banks. More specifically, all information regarding business performance and governance was

obtained from historical files gathered from the Infocamere data bank and from the AidaBvdep system, subsequently adding information on the identity of the scholars-managers working in the various universities and at Miur (the Italian Ministry for Education, University and Research). Additional information regarding project management processes and the provision of intangible resources was collected through a questionnaire.

### 6.1. Variables and the Research Model

The variables affecting the performance of spin-offs were analysed by Bivariate Correlation Analysis using Pearson's coefficient. The businesses' performance was measured through the Return on Investments (ROI) index obtained from 2011 official financial statements. Other variables included several governance features such as the level of interdisciplinary in the knowledge and competencies of the scholars belonging to the governance body in question (InSSD) and the presence of *interlocking directories* (Indi), all the way to the ability to attract venture capital towards businesses and banks (SogColl) and towards the parent organization (Uni). The relation between business performance and the characteristics of the social network in terms of network centrality and cohesion was also analysed. Analyses were carried out both on companies based in areas considered as more lively from a business and social standpoint and on a control sample, so as to verify how performance is influenced by the "territorial factor" and the spin-off's proximity to enterprises. A first comment is provided on the results of the questionnaire.

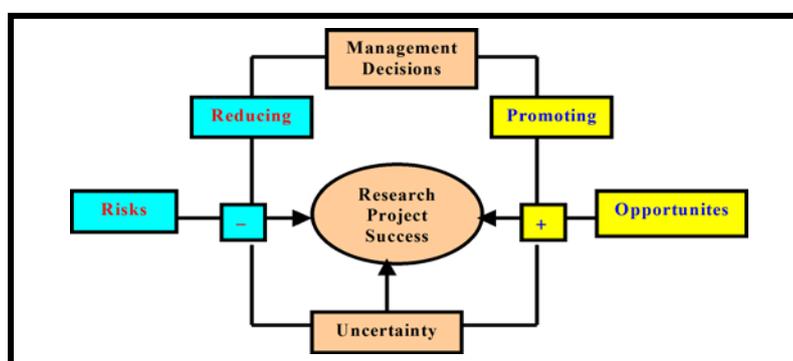
### 6.2. The questionnaire: Structure and General Aspects

Out of the 21 questions asked to the spin-offs, the first ones (1-4) regard the type of research projects carried out by spin-offs and allow to gather information that will be connected to project complexity indicators to be investigated at a later stage. These questions have been conceived to verify the truthfulness of some data obtained from the literature published in English on the state of the art of Project Management (PM), following some issues arisen by the critical discussion of such results. According to the researches mentioned above, project managers feel a deep dissatisfaction and frustration in relation to PM techniques. Moreover, the projects managed through the above methods are bound to failure in more than half the cases, while the advantages and benefits ensured by the application of planning and control techniques prove to be very limited.

The debate triggered by the considerations above led experts to focus more in-depth on the following issues:

- a critical review of the traditional PM model;
- a detailed analysis of the assumptions and premises on which that model is based;
- a greater focus on the specific features and peculiarities of the projects, which are generally overlooked by the universal approach typically taken in the traditional PM model;
- the identification of critical aspects working as indicators of project complexity.

In particular, questions 3 and 4 aim to verify the actual application of planning techniques and procedures on the part of project managers, while questions 5 and 6 provide information on the criteria applied to measure the success of a certain project and the success-failure ratio of research projects in general. Question 7 assesses the level of satisfaction or dissatisfaction of the managers with regard to the results achieved in their respective research centres. Question 8 uses specific indicators to identify the most frequent reasons for project failure. Questions 9-12 ask the respondents to give their opinion on the relation between the objective pursued by a research project planning and control activity and the actions taken to achieve that objective. The model used is represented in the following logical design.



The third group of questions (13-21) has been conceived to assess project complexity. This value is measured through a series of critical factors that the existing literature has so far analysed and structured in a rather inconsistent way.

More specifically, the following components have been identified:

- project innovativeness (*innovativeness*);
- project technological and epistemological uncertainty (*technological uncertainty, epistemological uncertainty, ambiguity, equivocality*);
- frequency of changes, amendments and revisions that the projects undergo during their implementation (*change management*);
  - role played by “soft” aspects, for instance thinking systems, cultural aspects, problem-solving schemes and methods (*creative problem solving, sense-making, shared mental models, etc.*);
  - role played by the human factor in the project’s success (*human factor, human resources*).

According to the traditional PM model, projects consist in routine, repetitive activities carried out in stable environments that are not subject to any unexpected changes. The research projects typically carried out in university spin-offs, conversely, include activities that cannot be automated nor precisely replicated and that are characterised by great creativity and a powerful drive towards innovation.

### 6.3. Results: questionnaire

The sample examined recognizes the strategic importance of the implementation of a Project Manager model for the management of research projects. In particular, 86.67% considers as fundamental *defining, in a clear way, the goals to be achieved for a successful research project* against 2.22% *who do not follow any whatsoever planning and organization methodology*. 39.53% of the spin offs believe that *breaking the goals down into sub-goals* is fundamental, 44.44% acknowledge that a strict planning leads to a more efficient *manner to increase the chances of achieving a successful project*. These facts are also confirmed by part A3 of the C-P form, highlighting the well-defined aims and methods. Moreover, the data obtained in connection to the variables which can be traced back to the typical complexity and uncertainty of research projects are clear. In fact, 39.53% of the spin-off companies considered, blame the confusion of defining goals and methodology on the *complexity of the research project* and 25.58% on the *innovative character of the research project*, only 6.98% maintains that said confusion depends on *too ambitious goals that the research program wants to achieve*. In such a context, the percentage obtained with reference to the probabilities of a successful/unsuccessful research program is particularly significant: 97.44% of the spin offs believe that *a better definition of the goals and methodologies during the planning stage* substantially affect the probability of achieving a successful project respecting goals and timings, without exceeding the budget assigned; in effect, 66.67% of the spin offs only concentrate on projects having *clear and well defined goals*. Hopefully, the spin offs will more and more employ a new model of project management aiming at achieving an efficient and successful new RPM approach. Said assertion is confirmed by 42.11% of spin offs that confirm *they often change the goals predetermined during the planning stage*, 97.37% believe they should follow *a circular dynamic model of adaptation and review*. A particularly flexible and dynamic RPM model is fundamental for the management of spin off typical projects because 55.26% believe it is more suitable to make adaptations to the project during its development so as to better face accidental issues, only 5.26% believes not having to alter the original organization plan at all. The RPM also better adapts to a strictly democratic and participative management model believed necessary by 94.59% of university spin offs. As far as the intangibles are concerned, the questionnaire shows that about 40% of those interviewed acknowledge that the relationship with the *end users* and the fact of having the appropriate information are the main factors for guaranteeing the success of the research projects. As far as human resources are concerned, 50% believes the ability of cooperating and coordinating the roles within the team are fundamental, but in particular 64% consider that the person in charge of the projects must have both scientific and strictly managerial expertise. As far as the latter is concerned, marketing expertise, interpersonal skills and the necessary know-how to increase the financial funds coming from outsiders are considered fundamental for successful spin off. Moreover, a democratic and active style, together with a strong organizational culture result in being rewarding.

#### 6.4 Evidence of Statistical Analysis: Descriptive Statistics

The clusters considered concern the spin offs coming from universities in the regions of Piedmont, Emilia Romagna, Tuscany, Lombardy and Friuli Venezia Giulia. Considering the percentage of answers to the questionnaire, a sample equal to 44% of the people of the spin off companies in the above mentioned areas was acknowledged, to which evidence extracted from 29 companies out of the clusters and considered a control group was added. By 2013, 10% of the sample companies in the clusters are either winding up or inactive. The detailed statistics of the cluster sample (Table 1) highlight an average profitability of the negative investments, even if the value undergoes strong fluctuation, turning out to have, in absolute terms, a profitability over 10% in 28% of the sample within the clusters. Even in the control sample, the average profitability takes on critical values and there is a certain instability within the group.

**Tab.1:** Descriptive statistics: clusters

	No.	Min	Max	Average	Standard Deviation
ROI	105	-143,55	88,50	-,7523	29,72987
Valid (listwise)	105				

**Tab.2:** Group Control

	No.	Min	Max	Average	Std. Dev.
ROI	29	-120,44	48,00	-,3210	27,91374
Valid. (listwise)	29				

#### 6.5. Network Structure

About 57% of all the companies studied present cross function managers. That is, in the cluster companies 55% form cross functions between government bodies and other companies; within both groups multiple roles are taken up by the managers who, in almost all the cases, are not researchers with joint assignments. *The Social Network Analysis (SNA)*, applied considering the connections among the presence of cross function managers, points out both in the cluster sample and in the control group a network with a poor level of team work, confirmed by very low values of Density<sup>220</sup>, by the average number of connections of each manager (AvDegree) and by the great distance observed among the managers, expressed by the geodetic distance index (Table 3). It is gathered that, even delineating the analysis within specific territorial areas characterized by an acceptable business activity concentration, the university spin offs do not create strong networks as far as the relationships made to co-opt the managers c/o partner companies or companies that supply assets are concerned. The analysis underlines that many of said relationships involve companies belonging to the financial sector, whereas involvements in research consortiums, technological parks, research centers or company developers are less frequent. Moreover, many relationships with PMI's belonging to the manager's family network are developed and this confirms the repeating of personal relationships in the spin off collaborations. The *interlocking directories* are less common among the same spin offs, even among those of the same cluster, and this demonstrates the fact that it tends to manage its dependence on the resources, both the human ones and the financial ones, looking for relationships outside the spin off circuits. Even in the control group, made up of companies which are geographically far apart from one another, a weak network and a poor cohesion among the parties stands out.

<sup>220</sup> The density index ranges from a max. of 1 (high cohesion) to 0.

**Tab. 3:** Network Cohesion measures for both groups

	<b>Geodesic distance</b>	<b>No. Ties</b>	<b>Density</b>	<b>Avg.Degree</b>
<b>Cluster</b>	Avg 4,83 StdD 0,02	465	0,006	1,58
<b>Control Group</b>	Avg 9,1 Std 2,3	185	0,017	1,74

Substantial datum concerning the positioning of the parties in the network emerge again from the SNA, expressed by the three centrality measures of Freeman: the Degree, the Betweenness and the Closeness of one party to others, which express the efficiency with which a party reaches others in the network. The low value of the degree (Table 4) of the cluster sample stresses a poor inclination of the spin off managers towards the outside (Outdegree) and a poor popularity of the same (Indegree). In the network the centrality measures respectively take on an average value of 4.28% and 2.95%, revealing a poor appeal of the university spin off managers c/o other companies. Furthermore, another fact which comes up is that 53% of the relationships created by the spin offs with other companies present managers who act as homogeneous intermediaries within all the network. If the centralization based on the interposition, equal to 1.55 in the clusters, is connected to the global measure of centralization based on the degree, we can come to the conclusion that a strong and attractant gravity center is lacking in the group. Coherently with the theoretical construct of the research, this phenomenon can explain itself with the fact that among the spin off companies there is a good degree of diffusion of the critical resources, such as technological knowledge and human resources, towards which reliance from the outside is limited even if present, whereas financial requirement and the need to compare one another with *end users* are greater. Even in the control groups the average values of the centrality are limited (Table 4).

In the cluster sample, the SNA stresses the presence of 7 *cliques*, that is, sub-groups of companies more often presenting interactions within the Board of Directors. Examining its structure, we can see that it includes company developers and research consortiums, thus proving that the presence of these parties qualifies for their interaction and the creation of strong relationships among the companies and the spin offs, suggesting a more intense exchange among science, technology and the market. Furthermore, it is important to underline the fact that companies belonging to sub-groups are mainly present in chemical-pharmacological industries, as well as medical and industrial engineering ones.

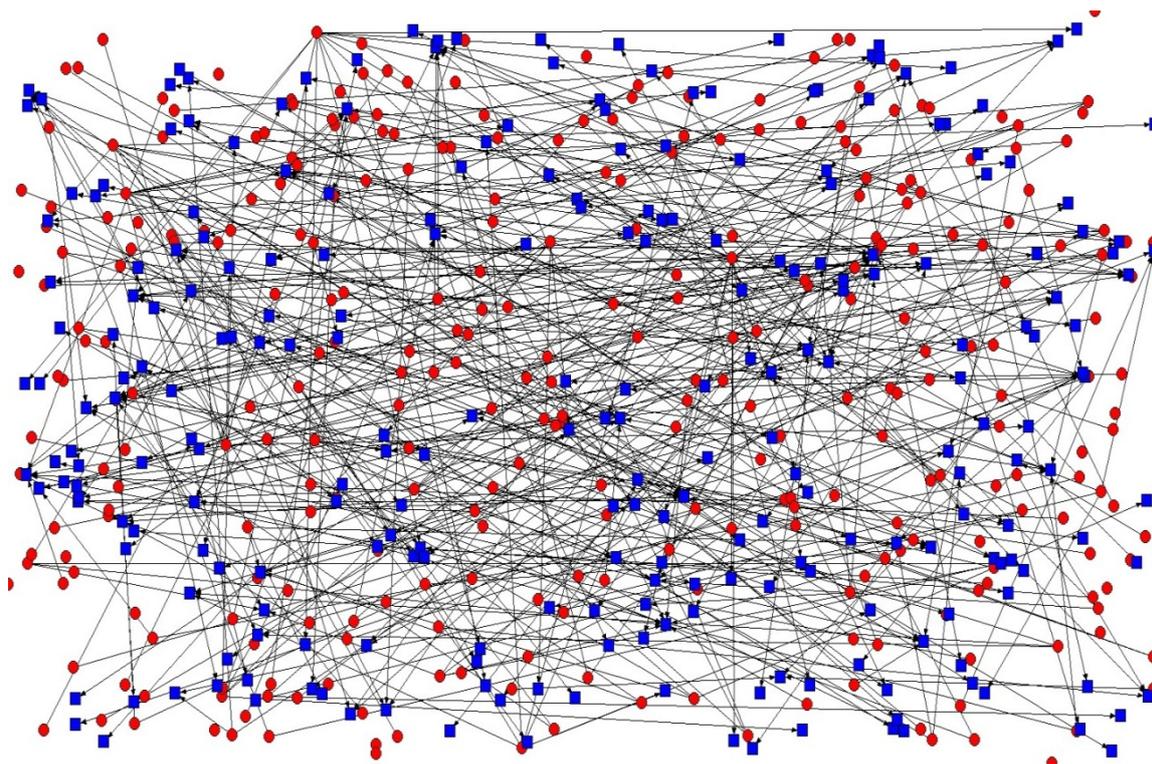


Fig. 2: Diagram of spin offs network into the clusters<sup>221</sup>

Tab. 4: Centrality measures of networks

		OutDegree	InDegree	InClos	OutClos	Between
<b>Cluster</b>	Avg	1,54	1,54	0,37	0,37	79,85
	StdD	1,79	1,33	0,05	0,05	159,7
	Network index	4,28%	2,95%			3,50%
<b>Control Group</b>	Avg	1,74	1,75	1,33	1,37	46,89
	StdD	1,90	1,51	1,99	2,18	96,4
	Network index	11,89%	6,07%			4,71%

## 6.6. The Correlation Analysis

The analysis concerning the companies included in densely populated clusters points out the existence of important relationships between the presence of cross function managers and the one of collective subjects in company structures. We can deduce that the opening of the spin off towards outside is influenced by the nature of the stockholders, confirming the fact that outside networks tend to reproduce the requests of the team of the founding members and partners. The circumstance also comes up in presence of *parent organizations* among the partners and, as a consequence, these events increase the centrality of the companies in the network of relationships with other organizations. No direct connection is deduced between the *interlocking directories* and the profitability of the investments. The latter is instead strongly connected to the centrality expressed by the Closeness measure, in particular by the degree of popularity observed in the network by the manager. That supposes that the presence of capable managers and good levels of profitability the company hold a

<sup>221</sup> In the diagram, the dots refer to spin off companies, the squares refer to the managers. The lines go from the companies towards the subjects.

central role in the network of relationships established on the territory. Satisfactory levels of centrality are also observed in the presence of managers-researchers who basically repeat the great network of technical-scientific relationships made up in the past in their organizations of origin; furthermore, the presence of inside networks of knowledge, expressed by their degree of expertise interdisciplinarity, allows the spin off managers to hold a central role in the network. This also suggests a spreading of knowledge even outside.

**Tab.5:** Correlation Matrix for spin offs into the clusters

		INDI R	SogC ol	Uni	Amm acc	Insdd	Outdeg	Indeg	Inclo s	Outcl o	Betwee	ROI
INDIR	Pearson Correla tion	1	,331(**)	,246(*)	,145	,011	,624(**)	,354(**)	,576(**)	,512(**)	,202(*)	,183
	Sig. (2- code)		,001	,011	,140	,914	,000	,000	,000	,000	,039	,061
	N	105	105	105	105	105	105	105	105	105	105	105
SogCo 1	Pearson Correla tion	,331(**)	1	,331(**)	,071	,075	,328(**)	,222(*)	,188	,175	,155	-,188
	Sig. (2- code)	,001		,001	,471	,447	,001	,023	,055	,075	,115	,055
	N	105	105	105	105	105	105	105	105	105	105	105
Uni	Pearson Correla tion	,246(*)	,331(**)	1	,377(**)	,380(**)	,426(**)	,117	,046	,097	,233(*)	,150
	Sig. (2- code)	,011	,001		,000	,000	,000	,235	,640	,324	,017	,128
	N	105	105	105	105	105	105	105	105	105	105	105
Amma cc	Pearson Correla tion	,145	,071	,377(**)	1	,749(**)	,246(*)	,077	,223(*)	,248(*)	,128	,120
	Sig. (2- code)	,140	,471	,000		,000	,011	,434	,022	,011	,195	,223
	N	105	105	105	105	105	105	105	105	105	105	105
Insdd	Correla zione di	,011	,075	,380(**)	,749(**)	1	,250(**)	,010	,107	,210(*)	,146	,066
	Pearson Sig. (2- code)	,914	,447	,000	,000		,010	,919	,279	,032	,137	,503
	N	105	105	105	105	105	105	105	105	105	105	105
Outde g	Correla zione di	,624(**)	,328(**)	,426(**)	,246(*)	,250(**)	1	,274(**)	,454(**)	,566(**)	,537(**)	,111
	Pearson Sig. (2- code)	,000	,001	,000	,011	,010		,005	,000	,000	,000	,260
	N	105	105	105	105	105	105	105	105	105	105	105
Indeg	Correla zione di	,354(**)	,222(*)	,117	,077	,010	,274(**)	1	,461(**)	,206(*)	,405(**)	,020
	Pearson Sig. (2- code)	,000	,023	,235	,434	,919	,005		,000	,035	,000	,838

Inclos	code)											
	N	105	105	105	105	105	105	105	105	105	105	105
Outclo	Correlazione di	,576(**)	,188	,046	,223(*)	,107	,454(**)	,461(**)	1	,851(**)	,211(*)	,201(*)
	Pearson Sig. (2-code)	,000	,055	,640	,022	,279	,000	,000		,000	,031	,040
Betwe	N	105	105	105	105	105	105	105	105	105	105	105
	Correlazione di	,512(**)	,175	,097	,248(*)	,210(*)	,566(**)	,206(*)	,851(**)	1	,225(*)	,165
ROI	Pearson Sig. (2-code)	,000	,075	,324	,011	,032	,000	,035	,000		,021	,093
	N	105	105	105	105	105	105	105	105	105	105	105
e	Correlazione di	,202(*)	,155	,233(*)	,128	,146	,537(**)	,405(**)	,211(*)	,225(*)	1	,097
	Pearson Sig. (2-code)	,039	,115	,017	,195	,137	,000	,000	,031	,021		,323
ROI	N	105	105	105	105	105	105	105	105	105	105	105
	Correlazione di	,183	-,188	,150	,120	,066	,111	,020	,201(*)	,165	,097	1
ROI	Pearson Sig. (2-code)	,061	,055	,128	,223	,503	,260	,838	,040	,093	,323	
	N	105	105	105	105	105	105	105	105	105	105	105

\* The correlation is significant at level 0.05 (2-code).

\*\* The correlation is significant at level 0.01 (2-code).

In the group control, the presence of interlocking directories is evident where other companies or banks in company structures are present, whereas the presence of parent organizations does not seem to make a difference. Even in this case, if there are interlocking directories good levels of centrality in terms of openness and the closeness of other subjects are achieved, but no interpositions are present. No correlations between profitability and other variables are present.

**Tab. 6:** Correlation Matrix control group

		INDI	Sogg Coll	Uni	Amm acc	Insdd	Outdeg	Indeg	Inclos	Outclo	Betwee	R OI
INDI	Pearson Correlation	1	,368(*)	,186	,306	- ,005	,557(**)	,432(*)	,788(**)	,738(**)	,122	- ,207
	Sig. (2-code)		,049	,333	,107	,977	,002	,019	,000	,000	,528	,280
	N	29	29	29	29	29	29	29	29	29	29	29
Sogg Coll	Correlazione di Pearson	,368(*)	1	,589(**)	,133	,205	,440(*)	-,020	,295	,267	- ,019	- ,290
	Sig. (2-code)	,049		,001	,491	,285	,017	,918	,121	,161	,921	,126
	N	29	29	29	29	29	29	29	29	29	29	29
Uni	Correlazione di Pearson	,186	,589(*)	1	,386(*)	,287	,522(**)	-,118	,023	,200	- ,062	- ,271
	Sig. (2-code)	,333	,001		,038	,130	,004	,541	,904	,297	,748	,155
	N	29	29	29	29	29	29	29	29	29	29	29
Amm acc	Correlazione di Pearson	,306	,133	,386(*)	1	,424(*)	,385(*)	,286	,148	,253	,217	- ,134
	Sig. (2-code)	,107	,491	,038		,022	,039	,133	,443	,186	,258	,488
	N	29	29	29	29	29	29	29	29	29	29	29
Insdd	Correlazione di Pearson	-,005	,205	,287	,424(*)	1	,064	-,016	-,156	-,100	,034	- ,125
	Sig. (2-code)	,977	,285	,130	,022		,740	,935	,418	,605	,863	,518
	N	29	29	29	29	29	29	29	29	29	29	29
Outdeg	Correlazione di Pearson	,557(**)	,440(*)	,522(**)	,385(*)	,064	1	,386(*)	,536(**)	,665(**)	,143	- ,239
	Sig. (2-code)	,002	,017	,004	,039	,740		,038	,003	,000	,459	,212
	N	29	29	29	29	29	29	29	29	29	29	29
Indeg	Correlazione di Pearson	,432(*)	-,020	-,118	,286	- ,016	,386(*)	1	,540(**)	,261	,195	- ,132
	Sig. (2-code)	,019	,918	,541	,133	,935	,038		,002	,172	,310	,495
	N	29	29	29	29	29	29	29	29	29	29	29
Inclos	Correlazione di Pearson	,788(**)	,295	,023	,148	- ,156	,536(**)	,540(**)	1	,595(**)	,303	- ,220
	Sig. (2-code)	,000	,121	,904	,443	,418	,003	,002		,001	,110	,252
	N	29	29	29	29	29	29	29	29	29	29	29
Outclo	Correlazione di Pearson	,738(**)	,267	,200	,253	- ,665(**)	,665(**)	,261	,595(**)	1	,101	-

o	ione di	**)				,100	**)		**)			,1
	Pearson											17
Betwe	Sig. (2-	,000	,161	,297	,186	,605	,000	,172	,001		,603	,5
	code)											46
e	N	29	29	29	29	29	29	29	29	29	29	29
	Correlaz	,122	-,019	-,062	,217	,034	,143	,195	,303	,101	1	-,0
ROI	ione di											13
	Pearson											,9
	Sig. (2-	,528	,921	,748	,258	,863	,459	,310	,110	,603		,47
	code)											29
	N	29	29	29	29	29	29	29	29	29	29	29
	Correlaz	-,207	-,290	-,271	-,134	-,125	-,239	-,132	-,220	-,117	-,013	1
	ione di											
	Pearson											
	Sig. (2-	,280	,126	,155	,488	,518	,212	,495	,252	,546	,947	
	code)											
	N	29	29	29	29	29	29	29	29	29	29	29

\* The correlation is significant at level 0.05 (2-code).

\*\* The correlation is significant at level 0.01 (2-code).

## Conclusion

The analysis confirms the positive relation between the centrality of a spin off in a network, created by interlocking directories, and the company profitability, above all, in very vital clusters from an academic-business point of view. Notwithstanding the network in which the spin offs are inserted is not so cohesive, the interlocking directories seem very defused, above all in the presence of interdisciplinary expertise within the Board of Directors of the spin off; this suggests that said clusters enable a great process of knowledge and innovation spreading promoted by said companies, leading to a consequent development of the relevant social-economical context. In terms of policy, the analysis confirms the importance of creating external relationships reducing dependency on resources. Among the main elements capable of affecting the development process of a spin off, great importance is given to the *venture investor* which is capable of supplying the financing required by the development of the new academic-business initiative. In regards to this, some authors (Shane and Stuart, 2002) demonstrated how those spin offs mainly connected with the *venture capitalists* have greater chances of receiving from the same the funds required for the development of their activity and, as a consequence, less chances of failing in achieving their own targets; clearly, the development of the relationships towards a business world and with industrial partners is regarded as a key variable of success for a spin off that however requires time to be developed, such as that it is considered a process in continuous evolution (Hite and Hesterly, 2001). Furthermore, some research has demonstrated how newly established academic spin offs have greater possibilities to receive finance on behalf of *venture capitalists* compared to other types of technological start-ups (Angel and Vendrell-Herrero, 2010). What has been illustrated up to now lets us easily understand the importance of a network of financiers and solid *venture capitalists* capable of actively supporting all the development process of a spin off in the lack of which the odds of failure of a spin off relentlessly increase. This is particularly true in the initial stage of a spin off's life in which the asset contribution is fundamental for the following growth and development (refer to datum in Tables 3, 4, 5). The goals, ambitions and preparation of the personnel of a spin off are factors that influence the decision to start up a new business of this type and are also the factors which mainly affect its development in time (Piccaluga, 1999); it is also true that researchers and university professors who start up a new entrepreneurial initiative of this type have great professional expertise in the sector, but ignore management elements above all relevant to administration and finance, which are fundamental for the

sustainable development in time and capable of allowing the spin off to face the market challenges. Doutriaux (1987), distinguishes full time employment from part time employment within spin offs and points out how, on one hand the spin offs mainly appear being capable of facilitating the combination between theory and applied research, between universities and industries, and on the other hand, run a risk in concentrating too many commitments in the entrepreneurial initiative, neglecting the academic ones. However, the researchers-entrepreneurs capability to favour relationships between universities and industries in a dynamic way is, without doubt, able to guarantee a profitable collaboration relationship with the *parent-organization*. (as deduced in Tables 3, 4, 5). As a consequence, to enable the development and sustainable growth of a spin off in time, on one hand it is necessary to provide for the lack of management expertise of the academic personnel, aiming at the management training as well as the essentially technical one (or as an alternative, turning to professionals), and on the other hand, incentivize a greater integration with the *parent organization*, whose competences and relationship network at disposal play a fundamental role (as deduced in Tables 3, 4, 5). However, because of the limits of the present research, in the future it is worthwhile to lead the analysis towards clusters which are less dynamic from a technological and entrepreneurial point of view, so as to consider how external relationships act on business services in said environment.

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# MULTI-SCREEN VIDEO COMMUNICATION FOR BUSINESS AND ECONOMICS: LESSONS FOR MBA SCHOOLS OF THE 21<sup>ST</sup> CENTURY

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## **Abstract:**

Responding to a global trend to extend methods of communication and teaching, considerable attentions have been paid in industries of various types as well as in education on the use of multi-screen video communication methods. Yet, in spite of its great potentials, cautions and negativism on extending conventional teaching platform to multi-dimensional levels persists at various levels, (Green, 2010, Green & Wagner, 2011, Edmundson, 2012).<sup>222</sup> This paper reports experiments in several classroom settings of Business and Economics courses conducted in the summer of 2012. The main conclusion of the study is that the need to use the extended platform is heavily activity dependent. Indeed, MBA schools aiming to embrace multi-screen video communication technology will be unwise to adopt a one-size-fits-all solution. Parallel development also has the advantages of offering easier matching of platform with activities, enabling gradual adoption and possibly a more effective way to manage obsolescence crucial in technology management of an organization.

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**Key Words:** Multi-screen video, business, MBA Schools

## **Background and Motivation:**

Extending audio-visual platforms for education is nothing new. Online learning has gone through early stages of implementation around the turn of the century in its promise for greater flexibility (asynchronous, anytime, and anywhere), higher quality (more intensive, easier updatability, student-centered), wider scope of community (no country border line, access to rural areas where traditional education may be underfunded, students and professors can be recruited worldwide), and more cost-effectiveness (saving of traveling time, printing costs, physical infrastructure, etc.).<sup>223</sup> However, considerable doubts exist after more than 10 years with still ongoing experimentations, even in light of credible and very careful reaffirmation that extending education platforms via E-learning is heading in the right direction.<sup>224</sup>

For a long while, E-learning has taken a route deliberately avoiding the use of video. This was understandable, given that the high bandwidth costs, when compared with a low marginal contribution of image for knowledge enhancement, could easily rationalize its suppression in the early stage of online learning. This sentiment was particularly pronounced in the Master of Business Administration (MBA) programs where the case approach to learning has been the traditional

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<sup>222</sup> As a 2010 National survey conveyed, 60.5% of Campus IT officials in US strongly believed that "Lecture Capture is an Important Part of Our Campus Plan for Developing and Delivering Instructional Content." Professor Edmundson' open letter on challenging the effectiveness of E-learning was widely read, though receiving rebuttals from the online community as well.

<sup>223</sup> The transition of knowledge distribution from Lan based methods to Web based methods complemented the underlying macroeconomic fundamentals of society, moving from an industrial to a knowledge economy, emphasizing scale economies in logistic management, increasing globalization, building a learning community rather than learning in isolation, etc., all being well recognized in the literature.

<sup>224</sup> See Andrews & Haythornthwaite (2007), Allen and Seaman (2008, 2010), Means, Toyama, Murphy, Bakia, Jones (2009).

norm.<sup>225</sup> With analytical rigor, critical thinking skill, and soft communication skill development being in one form or another the programmable goals adopted in most schools, the case approach, complemented with powerpoint presentations and possible in-class Socratic interactions between instructors and students, constitutes most classroom activities in various programs offering MBA education.

There are reasons to believe that technology and economic environment have progressed to a stage where a higher expectation is now highly wanted. Firstly, bandwidth costs are falling substantially while the macro forces of the type mentioned in footnote 2 are increasing. Secondly, events in the world are challenging the instructor/student thinking paradigm in rather unpredictable ways.<sup>226</sup> What may constitute *good* business skills (reasons for studying for an MBA) can change as business practices themselves are changing. Thirdly, there is an on-going landscape change in lifestyle affecting the way students perceive knowledge in the 21<sup>st</sup> century, emphasizing mobility, social and gaming. Stories addressing to how professors confront with such distractions in conventional classroom are abundant. However, if curbing measures are ineffective, the best strategy may be to embrace the change and to develop distinctive features for a competitive winning of students' attentions. Fourthly, our perception of reality may go beyond numerical capturing of statistics and analytics. Indeed, there may be a need as well as arguably a more effective way for describing reality via a multi-dimensional audio-visual interpretation.<sup>227</sup>

Already, new models of online deliveries emphasizing rich media are emerging, e.g. <http://scu.svbs.co/>, extending beyond conventional case study methodologies. New learning models such as those provided by Udemy, Empowerucla, etc. all point to a need for new format of interactions. Even leading MBA schools of the world, such as Harvard, is trying new format for their MBA education, promoting new methodologies such as *Fieldwork*, taking students outside the classrooms, prompting commentators to remark that "'learning by doing' will become the norm, if a radical overhaul of the MBA curriculum succeeds."<sup>228</sup>

No one would argue that multiple-screen video conferencing should be, or will be adopted for all MBA programs. Different MBA programs have different niches, each program belongs to the vision with a mission that the university hosting the program may wish to promote. For example, to list a few, there are the Commercialization MBA and Clean Technology MBA (Oregon State University), Technology Management MBA and Global Executive MBA (University of Washington), MBA in Sport Business (University of Oregon), MBA in American Indian Entrepreneurship (Gonzaga). The very popular, but expensive, Executive MBAs (EMBA) is the grand daddy of all. First introduced at the University of Chicago in 1947, it was designed for professionals who can't take time off for regular classes because of their full-time professional engagement (usually with years of working experience) and still wanting to achieve higher levels of organization's leadership. Students in these programs have tight time schedule that require a very knowledge intensive interactive engagement. The schools offering these programs compete in delivering innovative combinations of on-campus and online studies.

Yet, ultimately, it is the activities designed and chosen in and out of classrooms, and the execution by the instructors of chosen activities, that could shape a particular niche of a program. Activities can intertwine with various technologies emerging; if managed well, the activities will enhance a good learning experience. This paper focuses on the technological backbone of multi-

<sup>225</sup> Leading teaching tools are the Harvard Business Review and the IVEY case library. Many MBA professors also created specific case studies for and with their students in various schools.

<sup>226</sup> The reflective milestone of 2008 financial crisis of the world is particularly revealing. Paradigm shifts are also evident in academic conferences organized around the theme of *Capitalism 2.0, New Economic way of Thinking (INET), new curriculum/program development(CIGI)*, etc..The current Euro crisis is yet another socio-political economy exercise waiting to be unfolded.

<sup>227</sup> Aside from the widely success of various reality shows on TV, added complexities in audio-visual extension in 3D, special effects, ala Cirque du soleil (e.g. Las Vegas show embellishing Beatle's "Love") and the London 2012 Summer Olympic opening ceremony kind of presentations, all point to the same conclusion: People are willing to pay for a better enrichment of audio visual experience.

<sup>228</sup> See the several reports in Economists on these new developments.  
<http://www.economist.com/node/16067747?zid=316&ah=2f6fb672faf113fdd3b11cd1b1bf8a77>  
<http://www.economist.com/node/21541045?zid=316&ah=2f6fb672faf113fdd3b11cd1b1bf8a77>

screen video conferencing infrastructure. Anticipating a rich-media-knowledge intensive demand of a 21<sup>st</sup> MBA education, experimental activities for particular courses in MBA in a particular program were designed, probing how knowledge delivery can more effectively utilize the emerging technology. The approach used in this paper is suggestive and reflective, rather than rigorously set up as social experiments subject to hypothesis testing, although surveys of participants were conducted.

### **Infrastructure: Vendors' Landscape**

Technological advances in the last decade were not only in terms of bandwidth, but in new software and hardware. The later have emerged increased by leaps and bounds in both areas of document sharing platforms as well as in audio-visual products. The focus in this paper addresses only to audio-visual products, as they are the frontier of technology on our younger generation will be perceiving the reality. Reality can be an approximated real time (in the moment) and/or virtual (graphic, imaginary, documentary) experience. Virtual reality opens up new dimensions for us to communicate and perceive knowledge. Undoubtedly sacrificing in terms of conventional method of acquiring knowledge, i.e. *reading*, 21<sup>st</sup> century communication moves towards getting ideas quickly and effectively, e.g. new vocabulary such as "lol". Technology in communication has run faster than how we can effectively utilize it.

Among many emerging technologies, videoconferencing has becoming more and more an important tool of communication. According to Cisco's 2012 VNI Forecast, "desktop videoconferencing is projected to be the fastest-growing service, with 36.4 million users in 2011, increasing to 218.9 million users in 2016". (Cisco, 2012). A Parks Associates webcast in June 2012 proclaimed that "multiscreen video services have become widely available in several global markets. Operators, broadcasters, OTT service providers, CE manufacturers, and others have all joined in the battle for their share..."<sup>229</sup>

Three broad categories of vendors currently exist in the videoconferencing industry. They are web based free platforms (e.g. Skype), web based paid platforms (e.g. GoToMeeting), and room based platforms (e.g. Polycom). The appropriate business model suitable for a business obviously depends on the business model of the enterprise. Although the web based platform has been growing, and argued by some to be the most significant trend for video calling, the popularity of which platform suitable for education is highly debatable.

### **Platform Evaluations:**

Free Web-based--Free web-based platform provides cost effective communication and collaborative tools for homes or offices. A platform can be easily downloaded and installed on computers, laptops, ipads, or mobile phones. However, free web-based platforms are not consistently stable, even with upgrades of premium version. Calls dropping and echoes can happen if the audio speaker system of either one of the two sides in a communication is not set up properly. The assumption that the other side of a call is as familiar with the platform as you is often wrong, and thus, considerable preparatory work may be needed to assure a good conference session, especially for people using it the first time. The revenue model of free web-based vendors is also questionable, as it depends on users changing their communication habit by getting out of a more conventional communication mode of landlines or mobiles, e.g. SkypeOut products.<sup>230</sup> All "free" business models have to ultimately rely on advertising revenues. For education usages, it could be quite distracting. For an information focused session, it can diffuse a subject matter to be learned because of various piggy begging of advertisement. Last but not least, free products are not particular suitable platforms for any organization (including education institutions) to build a brand image. Free web-based platforms do, however, have one advantage in that they are widely used by many people. For a product such as Skype, virtually, most students (existing or prospective) have some experience with it already. Although not reliably stable sometimes, it can serve very useful functions for institutions'

<sup>229</sup> "Multiscreen Video: Growth and Challenges" Webcast by Brett Sappington, Director, Research, Parks Associates, June 21, 2012.

<sup>230</sup> Rao (2011), Harris (2011).

instructors and recruiters to approach individuals outside of their institutional environments, particularly at the level of an informal interaction.

**Fee Web-based--**Typically, a fee-based platform allows the user to schedule a meeting in advance by sending a group notification email to attendees, announcing the time of meeting, and an url for them to click to join a meeting. Participants to the meeting can click on the link of the email to gain access to a meeting room that is hosted on the server of the vendor. However, both the organizer and the attendees need to download some application software, and updated process is needed every time a new meeting is conducted. Fee web-based platforms, although more stable than the free web-based platforms, can suffer from the same 1<sup>st</sup> time user panic experience that free web-based users encounter. The learning curves of free versus fee web-based platforms are similar, but fee web-based platform allows brand design and its embedment into an existing organization's website. Many training companies such as Dale Carnegie Training may find this platform to be suitable for their business model.

Another consideration for fee web-based products is their costs. Most of them are offered on a monthly subscription basis, with the number of clients an increasing step function based on the monthly subscription fee. Some of them also offer 800 ip phone services in addition to video conferencing. However, subscribers to a fee web-based vendor do not have to worry about bandwidth costs, as they are included in the subscription fees. Fee based vendors use their own servers, although many of them also provide software that can be permanently installed on their client's server.<sup>231</sup>

**Room-based--**The distinguishing features of room-based methods are the audio-visual hardware used and the signal for the transmission. The audio-visual hardware usually includes higher end microphones, cameras, and a codec. The system is usually connected to a single or a dual screen large size HD monitor, aiming to provide conversations and presentations over internet without requiring participants to wear individual headsets while achieving audio clarity on both sides of the communication. The camera also has zoom-in features with pre-set options that can highlight specific speaker in a video meeting. Thus, the interactive experience of a live-room can be more effectively provided by a room-based method, as long as the system(s) on the end point(s) allow H. signal transmissions.

Room-based method offers the highest degree of user friendliness because participants can just show up to a room where there is a H.signal system as if one is attending a regular meeting. It avoids the learning costs of web-based platform. The later requires each participant must at least know about the computer he/she is using to access the meeting. Whereas for a room-based method, all the participants need to do is to show up. The presenters/organizers of a meeting, however, do require prior training and some understanding of the operation of various features of particular system such as screen sharing, the control of the camera angle and zoom-in. Operating these audio-visual features can be distracting to a presenter/organizer when he/she often wants to concentrate only on the content to be delivered.

The costs of using room-based method, aside from the physical room itself, are the upfront investment costs of the audio-visual equipments. Depending on the vendors, such set up costs can range from a few thousand dollars to many tens of thousand dollars. Usually, an IT support crew is needed in addition to the presenters/organizers of meetings in order for the session to be conducted effectively. The days when presenters/organizers can approach a meeting or a presentation with self learned instinct of a linkup of laptop on the internet is still far ahead in the future.

Looking ahead, future multi-screen video conferencing systems will be competing on the dimensions of quality, costs, user-friendliness and versatility. The state of art of computer devices generally are not yet to the mature stage of Hi-Fi and other electronic equipments where high stability

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<sup>231</sup> Users are not completely free in that they do need to download certain "plug-ins" in preparation of a meeting. Although the downloading time generally does not exceed a minute, but it can be a psychological obstacle to first-time users who expect a "one-click" quick access. An exception of that is Vyew, which does not require downloading as the platform is http based.

and reliability can be achieved. Unless the users' perceptions are prepared to accommodate glitches, video conferencing is still a far distance away from mimicking reality.<sup>232</sup>

Although challenging, video conferencing technologies have also promised an increasing higher degree of versatility that may transform future methods of conducting business and education. Already, room-based methods are seeking to add mobility and inter-system functionalities to expand on the scope and space of communication. This entails expanding the traditional concept of classroom to a transitional process of a "learning space".<sup>233</sup> Thus, the room-based concept is looking to branch out to holding video conferencing out of the physical boundary of a room, while enabling also communication with desktops, laptops, possibly with other web-based platforms, etc.. For these possibilities, the question needs to be examined should not be limited only to dual-screen presentations, and indeed the value added of multi-screen presentations would definitely come into play. However, the experiments conducted in this paper were limited only to dual-screen.

Reflecting on the whole smorgasbord of technologies in the market and those that may be up and coming, the question for MBA schools to ask is a self-reflective question of its own program's attitude towards integration of these technologies, whether the technologies match can their teaching missions. As pointed out in earlier sections, MBA schools differ in the niches they want to build. Some may want to perceive these technologies as future highways—waiting for others to build but they themselves are not to use them until the technologies are fully developed and widely used. Others may wish to pursue a progressive strategy insofar that it will complement the mission of the program. For example, specific MBA schools may want to embrace an emerging technology in the same way that any niche cultivation of an organization would require its stakeholders to endorse and participate, with a strategic development direction in a certain direction. The issue is philosophical as well as pragmatic. There is definitely a distinction between the attitude of "building the highway—and people will come", with one that envisions that a highway should be built specifically suitable for certain niche usages. Again, the answer in the choice of one versus another would have to depend on the necessities of having activities in existing (or to-be-designed) classroom suitable for the mission of the program. We now turn to some suggested activities possibly suitable for business and economics for an MBA program in the next section.

#### Activities and Learning Objectives

Activities cannot be designed independent of learning objectives. The MBA School hosting the experiments in this paper has the following programmable learning objectives<sup>234</sup>:

##### General Learning Goals:

- (1G) Work collaboratively in groups;
- (2G) Recognize socio-economic issues, and establish and defend a position supported by ethical reasoning; and
- (3G) Lead effectively, particularly in an uncertain global environment.

##### Management Specific Learning Goals:

- (1M) Utilize technology support systems to strengthen organizational decision processes;
- (2M) Conduct industry, company specific, or environmental business analysis using appropriate data and informational resources to bridge the gap between abstract theory and practice; and
- (3M) Identify and analyze country/region-specific contemporary business issues; establish and effectively communicate and support recommendations.

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<sup>232</sup> There are high end telepresence products that are aiming to achieve close-to-reality experience. This paper does not have a budget to experience that however. Undoubtedly, the set up costs of such devices are expected to be exponentially higher those evaluated in this paper.

<sup>233</sup> The concept of Learning space has been discussed in writings of Oblinger (2005, 2006). Many interesting concept development in this direction can be found in a work space magazine 360Steelcase, Fall 2010, Issue 60 entitled *Rethinking Higher Education Spaces*.

<sup>234</sup> New York Institute of Technology, School of Management internal document: 09\_08\_03\_MBA\_Programmatic\_Learning\_Goals(f)

In the summer of 2012, dual screen presentations were conducted in a branch campus of the school of the following activities:

- Pairing of powerpoint with photo displays, animated flash, and internet current event reports
- Pairing of powerpoint with DVD (for providing a more vivid atmosphere, e.g. trading floor of Wall Street, life of J.P.Morgan, featured film relevant to a topic, played muted except for specific segment)
- Pairing of cross reference sources to re-enforce ideas
- Pairing of instructor's display and participants' (students') display
- Guest speakers through internet and collaboration of working documents
- Distant collaborations of class via desktops
- Distant collaborations of room to room
- Education Gaming/Competition via desktops and rooms

These activities were spread out over four business and economics courses, Micro and Macro Economics, Business Enterprise Environment, and Business Policy and Strategy. The economics courses are considered to be condensed accelerated courses for MBA students coming into the MBA program without prior knowledge of economics. They are structured as undergraduate economics courses "on steroid". The Business Enterprise Environment course is studies of regulations and laws on old and new economies across country borders. Business Policy and Strategy is a course on strategy formulation and execution. Most MBA schools have courses that cover these components with perhaps different course title. Students participated in the experiments were asked to express opinions with a survey in Appendix I. For the course on Business Policy and Strategy, students participated in a hypothetical exercise of formulating a strategy for a task force on video communication for an education institution that has a global vision at the corporate administrative level. Students were asked to formulate strategies on the business and functional levels that may enhance the corporate vision.<sup>235</sup> They have also been asked to evaluate infrastructure vendors' platforms as provided in Appendix II. The general purpose of the exercise was on how to utilize multi-screen video communication to build a *Distinctive Competence* for a Global University for the 21<sup>st</sup> Century.<sup>236</sup>

### **Evaluations of Activities:**

At the forefront, the experiments proposed and conducted were in fulfillment of programmable objective of (1M): utilize technology to support decision making. The small class sizes (ranging from 3 to 9), however, cannot permit evaluations to be done with statistical rigors. Thus, the use of the survey was largely for reflective and interpretative purposes. Also, implementation of dual screen presentations could run into technical glitches that when a session does not go well as planned, it is often unclear whether the less than anticipated performance was due to the technical niche or the content. Nevertheless, four activities experimented can be highlighted to show the promise of dual-screen/video delivery:

- Pairing of visuals with concepts expressed in words

Students uniformly like this, as visual examples are easier to digest, and can serve to bring out questions and discussions. This is particularly important given that certain disciplines, e.g. economics, have over delved into mathematical rigor into their classroom activities in the past. Students of business do not walk out from a class engagement satisfied by listening to an eloquent proof of proposition that many considered to be simple intuition. Students look for applications, thinking

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<sup>235</sup> The methodology of differentiating corporate, business, and functional strategies can be found in *Strategy: Core Concepts and Analytical Approaches*, 2nd Edition, 2012, by Arthur A. Thompson.

<sup>236</sup> Distinctive Competence is a common lingo used in business strategy courses for the purpose of identifying specific investment needed for a company to build specificities that cannot be easily duplicated.

vehicles for them to reflect on real world happenings. Visual examples often serve that motivation better than mathematical models. Nevertheless, this delivery method requires heavy preparations for the instructors, as conventional powerpoint summaries provided by textbook publishers lack emphasis on audio-visual elements. Video communication of this activity can also be a challenge, as most dual screen distant model allows a presentation screen shot of powerpoint separated from a room camera shot of the speaker or the audience. The presentation screen of powerpoint broadcasts only one screen (not both screens) from the broadcasting point. This activity is not recommended for distant delivery. It aims at making abstract complicated concept simple, and does not serve any of the programmable objectives except (2G) on the dimension of recognizing socio-economic issues.

- Pairing of instructor's display with student display

This activity is particularly suitable for collaborative learning, on lessons to be learned from current events, on theoretical concepts soliciting examples from students, offering a platform to provide students/participants on an equal footing with the instructor/organizer. There are various methods of using powerpoint to prompt class activities for motivating meaningful class discussion and deep learning (Berk, 2011). For MBA education, it is particularly important as the programmable objectives outlined earlier in the section specifically require students' articulation of complex issues and problems, notably (2G) and (3M). Indeed, the whole concept of collaborative learning coincides with the (1G) objective of "work collaboratively in groups".<sup>237</sup>

In at least two ways, collaborative learning via dual screen can be useful for a class of international MBA students. Firstly, international students being familiar with websites in their own countries, but not with how a current event is described or commented upon in another country, comparison of alternative interpretive paradigm can broaden scope and prompt discussions for students wanting to do business globally. This is particularly relevant for a course on Business Enterprise Environment, which requires comparison of countries along the dimensions of global competitiveness, ethics, politics, physical resource, and societal constraints.<sup>238</sup>

Secondly, and arguably more importantly, international MBA students often are handicapped in their communication using a non-native language. They can be weak and slow in a group discussion among native English speaking students. Yet, their thinking and ideas can have much to contribute to a discussion in a class. Allowing students to complement their arguments, in the same way that instructors can use their powerpoints, and their selection of websites to communicate a point, will put a student on equal footing debating in class with others and the instructor, strengthening their confidence to communicate.

Technically, collaborative learning of the type described can be conducted without the infrastructure improvement such as video conferencing system or room re-configuration. There are many ways to go from any point A to any point B. The fact that something can be done does not mean that it can be done well. Imagine an instructor adopts the collaborative learning in the form suggested. He/she can certainly ask each student wanting to speak to take turn to go to the podium, load particular page that the student wants to articulate, and take turn to make sure that everyone has the chance to speak. That takes a lot of class time, and actually NOT achieving the purpose. The purpose is to encourage communication based on the merits of their ideas, not merely an opportunity to equalize speaking opportunities, which often result in discontinued and disjoint dialogue. Students need to learn how to contribute constructive criticisms, not just expressing their own opinions, and be active as well as reactive in a group decision making process. Instructors in this context should be

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<sup>237</sup> Almost all MBA classes have group projects. Instructors often leave a group's organization structure to the discretion of the group. Although there are learning platforms that allow instructor to mentor individual groups in real time, there are no specific provisions in these platforms to provide *examples* and *training* on *how to* work in groups. Mentoring on these platforms at best can only be monitored by limited dimensions of efforts. What students need in a group efforts sometimes is immediate response, corrections and modifications, and recognizing issues and a point of contention that can be rephrased to achieve more effective delivery. Face to face, including virtual, thus provide an opportunity to experience group in action with effective mentoring for direction.

<sup>238</sup> See NYIT School of Management, Master Syllabus, MGMT 630.

reminded of the programmable objectives of (3G), i.e. ideally, identifying a leader from the group discussion, seeking equalization of time should not be the objective.

Infrastructure set up in terms of system used as well as room configuration can play an important role in generating dynamic group discussions. A large class will not do it well. A room with dual screen far apart will not do it well. A mechanical switch that allows up to a maximum of 4 computer/laptop hook up to a monitor will not do it well. A video conferencing system that allows easy screen sharing is the way to generate dynamic discussion. For this capability, alternative systems differ considerably in terms of costs, speed, and user friendliness.

- Guest speakers invited through internet with Q&A (not a one-way broadcast)

The convenience of inviting guest speakers via video conferencing to a class is self-evident. In an age where audience's attention span gets increasingly short, having new faces and new voices in a long classroom session can be like having an ice lemonade in a hot humid summer afternoon. Especially if invited speakers are commenting on the very subject matter of the day, whether they are pro or against the position of the instructor, students always find invited speakers refreshing.

The particular invited speaker for the class experiment in this paper was from a vendor of the video conference system of which the class were asked to evaluate. The course was Business Policy and Strategy. The assignment was for formulating a business and functional strategy for a Task Force as described in earlier paragraphs. The engagement was highly successful because it was equivalent to a field trip to the vendor without incurring the time and expense had the trip been physically taken. Especially if the *Fieldwork* methodology reportedly used in elite schools such as Harvard MBA is to be embraced, the use of video conference to proactively and reactively formulate strategies as class exercises or as service performed to outside classroom institutions is evident. With respect to the programmable goals under study, (2G) and (2M) were aimed in the particular activity used. The engagement between the invited speakers and the students helped achieved a better understanding of the industry and the specific firm being studied, and generally also touched upon socio-economic issues helpful to both the students and the invited speakers.

Discussion in class also suggested the use of invited guest speakers be extended to case studies in general. Currently, most MBA schools utilize a case study approach where students are asked to study an industry and/or company addressing to a particular episode, usually the more recent the better. The thought of acquiring a niche in bringing a case closer to reality by having industry person commenting on particular case being studied is what schools such as IVEY, and to some extent the teaching material embedded in 2012 E-book version of textbook used in the Strategy courses, are moving towards adopting. Yet, video recording of a one-way presentation by a speaker is never the same as a real time Q&A. Even if book publisher producing videos of such nature attempted to use a structured Q&A format in featuring a reporter together with the industry person in a video, it is never quite the same as questions initiated from the students in a dynamic way happening real time. This will serve to engage, rather than push students toward indifference, as one-way broadcasts often seem to result in shaping an education experience. Real time Q&A, if managed well by an instructor, most likely can enhance the learning experience of both the invited speakers and the students.

- Desktop illustration of competitive education game (tried on a platform called Glo-Bus only, but the potentials of this activity have much room to explore given consumer trend on mobility, social media and games)

At the outset, competitive education game is never good being taught in a conventional classroom. The illustration of a computer screen entailing inputs of numbers and data, even projected to large screen, can hardly be read by students even sitting close to the front row.

Conducting the class in a computer lab where students each face the desktop can alleviate the viewing problems. However, they are not effective for group discussion. Instructor also has no way of knowing whether individual student is following the screen selection of the instructor. A class allowing students to raise hands to seek individual help in finding particular location of data input on his/her screen consumed class time inefficiently, and if not managed well, can easily turn into chaos.

The screen sharing feature of most video conferencing system has the advantage of overcoming the deficiency of computer lab with a better working environment for small groups working on the Glo-bus game. Video conference of a small group allows better mutual enforcement of individual member's contribution, as the computer screen of each can be easily conveyed to the other members of the group, without requiring everyone to cluster around a single desk top screen which often measured not anything more than a 21". For the Glo-Bus game where data entry to one screen can change the condition of another screen, having members of a group to communicate those changes immediately and in real time is essential. In a computer lab, group communication, even by placing students in the same group together in designated area, cannot achieve mutual monitoring as well as video conferencing.

The paradox here is that distant communication can work better than reality, which is handicapped by physical capacity. The concept of *virtual* reality is what education game is hoping to bring out. It is different from the *real time* sense of reality that the other three activities emphasized. Pedagogical consideration suggests the use of alternative platforms such as *Second Life* can provide a better learning experience over reality.<sup>239</sup>

The activity chosen for this experiment fulfilled the general learning goal of (1G) and (3G). It also promoted the specific management goal of (1M).

### Reflections:

Educators of the 21<sup>st</sup> century face an increasing communication threat: our students know more and utilize more about technologies than we can. Our credibility as a source *of* or even as a vehicle *to* knowledge is challenged. Surely, we can shrug our shoulders and call anyone camping out for the latest iphone foolish. But unless we are willing to think ahead to accept the challenge, we will be facing a widening communication gap.

Critiques to online education may want to challenge the usefulness of the internet and the emerging technologies. Supporters of that position may be as out of touch with reality as supporters who totally embrace the other extreme. The relevant question to ask is not which education delivery mode is more superior, but whether a designed activity can achieve the goals of a program effectively. Matching activities to specific features of goals should be an instructor's challenge. On that, this paper tried to demonstrate how that can be done for some MBA courses in a program that serve an international vision of a world university.

A final note addresses to an ethical question educators may wish to contemplate before embarking on similar experiments for their programs. Although in many ways, *teaching* of all forms is experimental once it goes beyond *reading*, unless the teaching is done as unaltered recordings--play over and over again when the same course is taught, students consensus on the extent of the experiments as a proportion of the content of the course should be respected.

### Appendix I:

Dual Screen Presentation and Video Conferencing Survey:

Dual Screen Presentation refers to the simultaneous usages of 2 screens in a presentation. Rank a dual screen presentation in the following dimensions in relationship to a single screen presentation.

1. Information Conveyed:
  - a. Intensified
  - b. About the same
  - c. Distracting
  
2. My attentiveness to a presentation:
  - a. Intensified
  - b. About the same
  - c. Distracting

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<sup>239</sup> A Second-Life extension of MBA school, at least for one instance that the author knows about, had been a failure, however.

3. The importance of Visual Image for Economics:
  - a. Very helpful in understanding abstract concepts
  - b. Explanation more important than visual images
  - c. Discussions more important than visual images
  - d. Reading a text slowly more important than visual images.

Comments:

4. Dual Screen may be useful for the following activities:
  - a. Conventional Lectures
  - b. Collaborative Works
  - c. Works entailing Internet searching
  - d. Video Conferencing

Others:

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5. Technology used in the Dual Screen Presentation:
  - a. Important because it can be counterproductive if not done effectively.
  - b. Marginally important because it is the interest of the subject matter that attracts.
  - c. Not important because more information is definitely preferred over less information.

Comments:

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Perception on Video Conferencing:

1. Arguments against teaching using video conferencing:
  - a. Audio and visual images cannot be effectively communicated
  - b. Distant attentions likely to be less
  - c. Difficult to monitor reaction
  - d. Equipment dependent

Others:

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2. Arguments for teaching using video conferencing:
  - a. Facilitate convenience in inviting guest lecturing
  - b. Potential reduction in transportation costs
  - c. Sessions can be recorded
  - d. Interactivity dilutes the boredom of long lecturing

Others:

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3. Balancing the pros and cons of video conferencing:
  - a. I do not want to take a course involving video conferencing
  - b. I think a course with some sessions of video conferencing for the right activity may be good
  - c. I can see video conferencing to be the way of the future, and want to get used to participating more in it, even though I don't like it so much now.
  - d. The option of video conferencing can only increase communication productivity without downside risks because if it found ineffective, the convention communication method can still be used.

Other Comments:

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**AppendixII:**

Video Session Evaluation Sheet:

Date: \_\_\_\_\_ Computer Type and Model you're using: \_\_\_\_\_

Description of the Session:

Rank the session performance on each of the items below from a scale of 1 to 5, 1 being unacceptable and 5 being identical to face to face communication and beyond (e.g. an inviting new high tech feeling).

Leave BLANK if the session does not have features for a particular evaluation.

## I. Call reliability and quality:

- a. Image clarity
- b. Audio clarity (check echoes)
- c. Audio synchronized with Image
- d.
- e. Calls dropping

## II. State of the Art

- a. Screen outlay design
- b. Vendor's knowledge
- c. Sustainability of vendor's business model
- d. Recognition in the market (industry)
- e.

## III. Ease of Use:

- a. Easy to install and access for the meeting
- b. Menu prompts design
- c. Clarity of user interface
- d. Flexibility of managing a meeting/program

## IV. Integration:

- a. Use of accessories (e.g. ppt) for your communication
- b. Can communicate with other video systems
- c. Confidence in the backbone technology used
- d. Vendor's awareness of competitors

## V. Value

- a. Pricing formula suitability
- b. Software future upgradability
- c. Tech support to be expected

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# **INFORMATION COMMUNICATION TECHNOLOGY (ICT) ON IN-SERVICE TEACHERS: AN EXPERIMENT ON BACHELOR OF EDUCATION LEARNERS STUDYING THROUGH DISTANCE EDUCATION SYSTEM**

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## **Abstract:**

Learning needs assessment continuously from the beginning and up to the end of the course. We call this continuous evaluation as formative evaluation. . In general assignments, project work, practical etc. are for making internal assessment. Internet helps to collect information for writing assignments, to carryout project works and other practical works. It is obvious that the difficulties in network searching for valuable information by the Distance learners. Internal assessment is an integral part of the teaching learning process. Many of the learners wanted to use networking services for their preparation and submission of their assignment and other practical works at their work place itself. They face problem to have a link with their educators as a result internal assessment is not up to the level. Based on these views this study was carried out, the result were such as distance learners need to have internal assessment and 60% of them are like to use ICT for this purpose.

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**Key Words:** Distance education, Bachelor in Education, ICT, Internal assessment, evaluation, in-service teacher

## **Introduction**

Assessment and evaluation are essential part of the learning process. Learning needs assessment continuously from the beginning and up to the end of the course. We call this continuous evaluation as formative evaluation. It is one of the methods followed to award internal assessment. It makes means to communicate the students and teacher in Distance education system. This communication helps and guides the learners to continue their learning process in a favorable approach. In the internal assessment students and teachers involve directly to assess the learning. In general assignments, project work, practical etc. are the resources of internal assessment. Internet is one of the resources to collect information for writing assignments, to carryout project works, practical works etc. This paper is based on the perception of Distance learners of Bachelor of Education programme on their internal assessment. It is one of the important areas to be studied on in-service teacher learner with their experience on ICT as an agent.

## **Information Communication Technology**

Difficulties in networking for searching valuable information for assignment writing, project report writing is a big challenge for the Distance learners. It is also obvious that it is difficult to determine the validity and reliability about the information. Learners depend on their own for assessing the information. Learners need to know how to manage, analyze and transform the information into usable knowledge. So as to incorporate those information in to their assignments, projects etc., They require training and assistance from their distance educators for proper access of information. The use of ICT for teaching learning process will help to remove this problem.

## **Internal assessment**

There are external assessment and internal assessment. Internal assessment is one of the processes of evaluation in which the pupil and the teacher are directly involved in measuring the progress of student's learning. Assessment must facilitate in the evaluation process by providing additional information needed to make considered judgment. Internal assessment provides feedback to

learners about their strengths and weaknesses of their performance. It directs the students towards their improvement. It is an integral part of the teaching learning process.

### **In-service teachers**

In-service teachers are the B.Ed., students in the distance education system. They find very least time to attend personal contact programs in the study centre, many of them are not able to reach the study centre in proper time due to far away working places. As a result insufficient attendance in the personal contact program classes and it leads to the extension of the course period. Many of the learners are want to use networking services for their preparation and submission of their assignment and other practical works at their work place itself. For this they expect the help of distance educators. They face problem to have a link with their educators as a result internal assessment is not completed up to their expectation level. Based on these views this study is carried out on the distance learners those who took admission in B.Ed., course.

### **Review of literature**

Evaluation is defined as the collection, analysis and interpretation of information about any aspects of a program of education and training, as part of a recognized process of judging its effectiveness (Thorpe, 1988). Many of the students in distance education system are like to have some level of interaction with the teacher for their learning process through ICT (Mahajan, 2010). Temporal and spatial separation between educators and learners in distance education is thought out as a problem and it should be overcome by various teaching and learning strategies of the distance education system including e-strategies (Ponmeni, 2012). Dial-a-teacher may be one of the ways to overcome the difficulties of the learner via the call centre containing the facilities of various subject experts, fax, e-mail and internet (Khanna, 2010,). Students have the positive attitude of using ICT for their course learning is observed from the studies carried out by Ponmeni (2013). It is well understood that ICT and e-learning were recommended as a necessary approach for distance learners by most of the educators. The assignment activities as an internal assessment, develops a new teaching and learning approach, it facilitates active learning and reflecting on continuous practices (Ponmeni, 2011 and 2013). It is an ideal for anyone in a teaching or learning role those who needs to innovate and to update their skills (Roberts, 2011)

### **Title of the study**

Studies carried out on the title “Information Communication Technology (ICT) on in-service teachers, an Experiment on Bachelor of Education learners in the Distance Education system”.

### **Objectives of the study**

- It is to identify the perception of the learners about the internal assessment.
- This is to find out the interest of the learners about ICT for their interaction with the educators.

### **Hypothesis to be tested**

- Distance learners do not want to have internal assessment in their course.
- Distance learners do not want to interact with the distance educators through information communication technology for their internal assessment.

### **Limits of this study**

- Present study is carried out on the distance learners only.
- Study is carried out only on in-service teachers working in various schools of Haryana.
- Study is carried out on 150 in-service distance learners only.
- Calculations of the results were carried out up to percentage (%) level only.

### **Methods used in this study**

- Learners are asked to provide their broad views regarding the internal assessment of their own course studies (B.Ed., Course).
- Responses were drawn independently in a written form from every one of the student.
- Calculation of the results were done up to percentage (%) level.

### **Analysis and Discussion**

The views of distance learners were analyzed, from the analysis it was assumed that three hours external examination at the end of course is not sufficient to assess the learner thoroughly. So they all have the opinion that, there is a need of internal assessment for the learners to evaluate them in a proper manner. As per the hypothesis 100% of the distance learners were said to have the internal assessment. Like this, the first hypothesis is tested.

Continuous assessment through assignment, school based practical, and workshop based practical are offering self-satisfaction of the learners because these made them to have an interaction with the educators for the proper preparation. This study also states that more than sixty percentage (60%) of the learners need to have this interaction with educators from their own working place via various means of multimedia and ICT to save the time and money. Other 40% are not having proper working knowledge in the networking technology and ICT for their communication. Thus the second hypothesis was tested.

### **Conclusion**

The above study is providing the message of perceptions about the internal assessment. All distance in-service learners expecting it as a support for their proper learning. So the opinion about internal assessment shows a favorable attitude. On the other hand many number of students wanted to interact with their distance educators through ICT for their doubts for preparing their assignments and other related practical works leading towards their awards for internal assessment. Hence it is concluded that distance educators and distance education institution should consider the expectations of the learners and provide support to them through their possible directions.

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## TEACHER TRAINING NEEDS: DIDACTIC STRATEGIES TO APPROACH SCHOOL INCLUSION IN THE SPANISH EDUCATION SYSTEM

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### Abstract:

Changes that occur after the implementation of new education legislation do not always have negative aspects that involve changes at the organizational level of schools. With increasing frequency, we find in our Elementary and High School classrooms students with different learning difficulties and diverse ethnic backgrounds. Many immigrants continually arrive in our country during different periods of the academic year and are incorporated in the academic course according to their age. They do not know Spanish and cannot follow normal lessons.

Our Spanish Organic Act of Education (2006) focuses on all educational levels but pays particular attention to these students who really require specific educational attention. It pursues the incorporation of these groups in the education system depending on their capabilities and needs. To provide them with all the attention required, our education systems need specialists to teach these students. Most of the decisions undertaken are adopted regarding the psycho-pedagogical assessment that the counsellor performs. This procedure implies an improvement on previous legislation in the treatment of students with disabilities.

Until 2006, the regulations which the Spanish education system had developed education in all compulsory levels consisted of four education acts: General Act of Education (1970), Organic Act Regulating the Right to Education (1985), Act for the General Organisation of the Education System (1990) and Organic Act of Participation, Evaluation and Government Schools (1995). Yet, even with all the implementations prescribed by the still Organic Act 2 / 2006, of 3rd of May, of Education (2006) in Spain, have we reached school inclusion in publicly founded schools?

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**Key Words:** School inclusion, school organization, legislative framework, students' groupings, didactic strategies

### Introduction:

The current Organic Act of Education (2006) offers significant conceptual changes in our education system which is no longer a mere tautology. So far, the conceptual categorization of Special Education in our country referred to students with specific educational needs. Language immersion programs and education enhancement programs help Students with Specific Need of Education Support who incorporate late, who have serious linguistic and cognitive shortcomings or who lack sufficient knowledge of Spanish. They have been recently developed and are being introduced in Primary and Secondary classrooms. Similarly, Therapeutic Pedagogy specialists and counsellors provide individual attention to students who require a different teaching.

The concepts of inclusion and integration have been taken into consideration by any education discourse for a long time. However, most of the time, students with specific education needs are segregated from the rest of the class group. The principles of inclusion, integration, normalization and equity are present in any pedagogy speeches and legislative education texts. Authors like Stainback, Stainback and Jackson already showed in 1999 the conceptual change that was introduced in Spain in 2006. This change replaced the old term of *integration* with the more current term of *inclusion*. The reasons were varied. On the one hand, *inclusion* denotes more precisely the need to include all students in different social and educational tasks developed in schools. On the other hand, *integration*, created by the Act for the General Organisation of the Education System (1990) was implemented and indeed involved the reinstatement of students at school, accepting the previous exclusion that some had suffered.

Subsequently, the expression of *inclusive schools* was introduced, a concept that refers to the consolidation of an education system susceptible to include each and every student by offering individualised educational support. Integration implies the need to adapt to students who have been previously excluded returning them to the average groups. Inclusive educational responsibility lies within the professional development of teachers in charge of students with specific education needs in an attempt to satisfy their requirements.

### ***1. Inclusive education in a national and regional perspective***

Stainback, Stainback and Jackson (1999) indicate that the change created is not only verbal but also conceptual. Under the expression of *inclusive schools* there are other priority parameters such as facing the needs of all students, not just those diagnosed as children with specific educational needs. The trends in the field of Education aim at creating a sense of community, an awareness and mutual support to promote the success of all students, by providing equal opportunities for all. There are other concerns in the development of school inclusion. Gartner and Lipsky (1987) and Stainback and Stainback (1990, 1992) show special interest in determining the type of work required to develop an appropriate inclusion. They are the defenders of the ethical paradigm and are interested in the issues required to offer an inclusive education. Their interest lies not in ensuring the success of students with special education needs, but it is rather to ensure that all students are a part of a group class, regardless of their abilities, interests, skills, attitudes, family origins, etc.

The goal of the ethical paradigm is to consider that inclusion is the fairest way where all students should be treated with dignity, without having to adapt to specific patterns or be subjected to the standards of the institution. Rather, the ethical paradigm must contribute to the students' diversity. Inclusion is a basic right, not a privilege. In the context of the ethical paradigm, Stainback and Stainback (1990) identify three reasons that support the creation and development of the inclusive school. Firstly, to give each student the chance to learn to live and work with their peers as something natural that happens in real life. This means that they are integrated into an educational environment and community. Secondly, they aim to eliminate the inherent effects of segregation when children are placed in separate rooms, for example schools and/or special education rooms. Finally, to do what is fair, ethical and equitable.

These principles that encourage the development of such schools allow, according to the authors studied, a set of advantages over traditional approaches that try to help students with disabilities or deficiencies and so forcing their inclusion (Ibid.). If schools really developed an inclusive education, the benefits would be for all the agents involved in the educational process and not just for students with special education needs (Bennett, 1997). Thus, learning communities would be created in order to meet the students' needs with appropriate education support, whether these are immigrants, special education students or students with learning difficulties.

Moreover, teachers' resources and efforts would aim to assess education needs, such as adapting the teaching-learning processes and providing the necessary support to students who request it. Note that in inclusive schools all students are in the regular classroom during the school day; they do not leave and go to a support education classroom. Rather, they get support and individualized attention in the same classroom (Slavin, Leavey & Madden, 1984).

The third advantage that Stainback and Stainback (2001) list refers to the possibility of providing social and educational support to all students as far as inclusive school provides support, and promotes student's independence, mutual respect and responsibility. Faced with the definitions that have extended on the inclusive school (Ardanaz, 2004, Gartner and Lipsky, 1987; Stainback and Stainback, 1990, 1992) we must rather define in what respects it differs from traditional integration specially developed in public schools. In this sense, Carrión (2001) states that one must start from the conception commonly shared by the different education agents.

The micro-political level will condition the development that the institution undertakes. It is not likely to identify issues subject to differentiation between the practice of school integration and the development of the inclusive school. Rather, the fact that the factors which show the development of this new approach depend on the configuration of the micro-political level, beliefs and perceptions that school agents share. What issues differentiate school integration from inclusion? Basically, the term integration refers to the educational response that the school provides to pupils with special

education needs. That is, students with learning disabilities, aggressive behavior, mental disabilities, sensory impairments or physical disabilities (Carrión, 2001: 53). In fact, the use of the term *special education needs* often specifically excludes other pupils, for example, those who were socially, culturally, economically disadvantaged, who had different ethnic backgrounds, etc. In other words - those who are referred to as *late incoming students* by the current Organic Act of Education (2006).

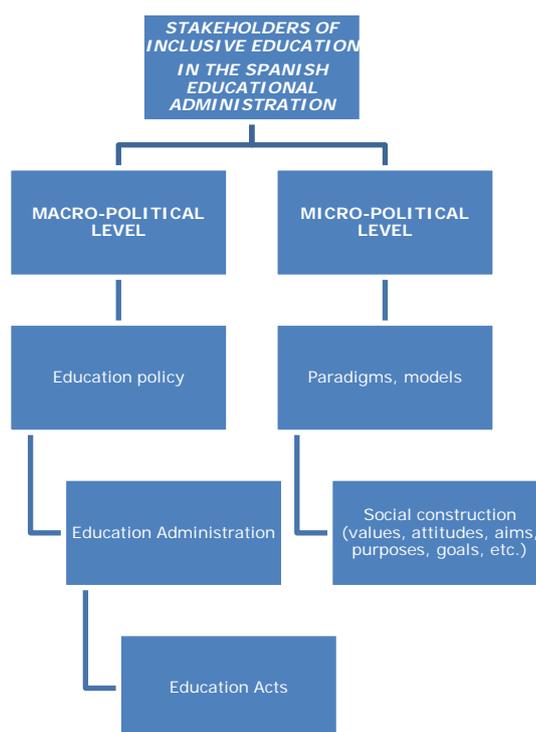
A key aspect of inclusion is the individual and tailored attention provided to students with special education needs, whatever their situation is, and especially to those who are disadvantaged, regardless of their origin. This development undoubtedly represents a forward step in the treatment of students who are in social vulnerability. Moreover, it states a redefinition of the term *special education needs*, parallel to the definition of the expression *special education needs* of the Warnock Report (1978), though substantially different regarding its development. To get real inclusion, the education services must provide the attention that each student requires without causing trauma. As Carrión suggests (2001: 59) "avoiding the fact of having negative consequences in those systems who are not able to develop the change it implies".

What changes can be introduced in inclusive schools to develop a truly inclusive inclusion to students with special education needs? What do stakeholders propose to face diversity? What values and attitudes must be shared to reach a genuine education? Firstly, it is essential to use adequate human resources, for example, teachers who really believe in the inclusion of students. They may also have received specific pedagogic training. Secondly, the use of education materials tailored to the students' needs. Thirdly, the implementation of appropriate methodology, such as active and participatory approaches, that prompts students into an active role and so on. Fourthly, we must not forget the involvement of parents in their children's education processes, encouraging an active collaboration, supporting the teacher's work and offering advice. These assumptions for a deep development of inclusive education should be based on school consensus. From the macro-political level the central government in Spain (the Ministry of Education, Culture and Sports<sup>240</sup> located in Madrid) through their legislators create education acts. Then the Autonomous Communities, due to the education competences they have, adapt national acts to the reality of each community. For instance, some of them introduce a co-official language, as Catalonia or the Basque county.

At this point an Autonomous Community, through its Regional Government (Provincial Service in the case of Zaragoza) includes in the approved curriculum changes or adds issues to the national guidelines. Education inspectors, consultants, those responsible for the development of education programs, stakeholders, should share values, attitudes and common purposes (Avramidis & Norwich, 2000). When this does not happen the resources to face diversity are ineffective. Many programmes can exist, such those listed below, but they may still be non-practical for inclusive schools if they do not focus on students' needs. Legislative Acts implement specific measures and resources to develop inclusion but they are no longer developed at schools. When the stakeholders focus on the achievement of those measures, students' learning highly improves. They are made legal through the adoption of autonomous curricula but lack any efficiency:

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<sup>240</sup> <http://debateeducativo.mec.es/paginas/convocatorias.html> (Accessed: 17<sup>th</sup> November 2011).



The curricula developed in the different Autonomous Communities in Spain are those which the different Elementary and High Schools assume in their didactic projects. As they are prescribed by each Autonomous Administration, the teaching institutions must meet the principles, contents, methodology and assessment criteria stated in those regulations. However, if the arguments exposed in those texts do not take into account the improvement of human and material resources provided to schools, teachers' efforts towards the development of inclusive education to face students' diversity will be fruitless.

On the other hand, the teacher's work in the classroom, as mentioned above, depends not only on his/her didactic performance, but also on the methodological line assumed by the school. If the teaching staff is not able to develop the principles, values and aims proposed by the stakeholders, if they do not share a common ground to develop their teaching-learning, teaching is not directed towards the same goal: to provide each student the support he/she requires. In this sense, we cannot state that a real inclusive education is reached even though the legislative acts implement it. Most of the time what is prescribed by legislation is far from what schools need or what can be assumed in the institution.

Moreover, there is another issue that has to be considered. Multiculturalism is one of the characteristics of our present-day society. As such, schools have a huge variety of students coming from very different countries. Thus, teachers need specific tools and resources. The school, as an integral part of society, must face these new socio-educational demands. The need to provide each student with the attention he/she requires is a constant challenge for teachers. Diversity can be manifested in different orders: unflattering family situations for the student's personal balance, mental or physical disabilities or diseases, interests, preferences and learning rates, etc. Among others, these factors differentiate students even though they belong to the same class group. In order to cope with this heterogeneity, teachers have to undertake specific methodological principles that are not always established by the stakeholders but need to be developed in the micro-political level as those in charge of education are not especially concerned with them. When a foreign student is schooled he/she has to share his/her values with his/her peers, his/her culture, interest, knowledge with the aim of getting integrated in the group. Even his/her abilities could be different from others. But it will be one of the teacher's tasks to try to encourage an appropriate social environment in the classroom.

If the school system does not know how to deal with these socio-educational demands, it can no longer provide quality in education. To make a proper inclusion in mainstream schools, curricular,

pedagogical, didactic changes are required. This means that organisation changes must be generated in accordance with the real possibilities and current needs. When this does not happen, if there is not any suitable education management from the school, inclusion can become a special education subsystem that only shares certain organizational and space arrangements with the regular education (Carrión, 2001).

The measures of attention to diversity that the current legislation implements through different stakeholders (inspectors, education policy makers, school advisors, etc.) are meaningless if limited to fragmentary interventions both at the Elementary and High education levels. The inclusion of students with specific educational support needs to be shared at school, in the shaping of the micro-political level. If it is only prescribed by the macro-political level and even not considered, schools are unprotected towards the new incoming students. Teachers should share common policy principles, goals to be addressed, and also methodological guidelines related to students' diversity.

On the other hand, parents have to participate and support the educational process. Education policy should encourage this process of inclusion, not only as keywords that govern the legislation texts, but by providing human and material resources. Many schools need support from administration, not only in terms of staff but also by considering external resources in order to support the teaching-learning processes. Schools are mainly characterised by a diverse educational reality which is quite difficult to be assumed. They do not only need more material resources, but often human resources are not sufficient or the most adequate ones in such an increasingly diverse and multicultural environment as the current one. In this sense, schools have to undertake common principles to effectively manage the centre through a coherent and coordinated action of all members of the education community. This view must be shared by stakeholders in order to support education in each stage.

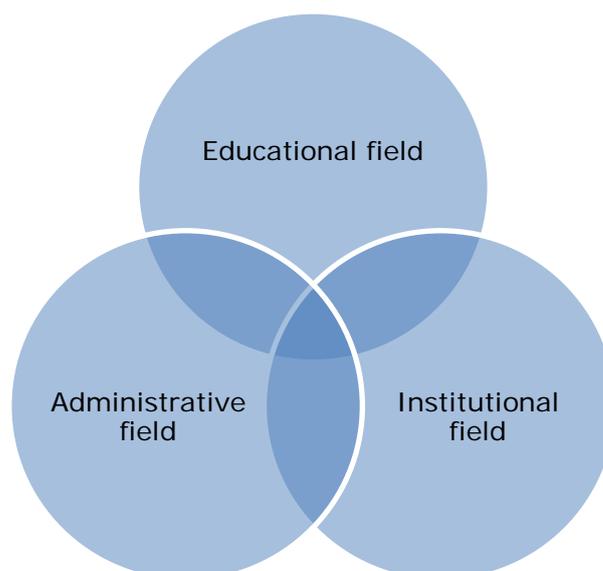
In Spain, specifically in Aragón, the assumption of these common principles, values and attitudes is usually reached in schools to offer the education required by each student. However, even though sometimes they are stated in the legislative text and are orally extended by the stakeholders, they use to remain as perfect words, legitimate words teachers must use in their speeches. As an example of how stakeholders' indications are somehow reflected in official education documents we necessarily have to mention the School Educational Project. If designed appropriately and coherently on the basis of the schools' needs and the stakeholders' prescriptions, it will favour the development of an appropriate school inclusion.

The School Education Project is a document that shows how the school conceives education, what values, aims and structure it has and how education is developed. It is created in schools following the stakeholders' prescriptions. If the information reflected in this document were truly assumed in schools, we would state that the stakeholders' guidelines were efficient and functional at schools as far as they were developed.

Unfortunately, this document does not always show the real development of the educational process. Even though the main aim of the guidelines stated by the stakeholders is to improve education, by offering the right answer to all students, the macro-political level is not always related to the micro-political level.

To give an example about how this document shows a coherent development of the education assumed by the school staff, and prescribed by stakeholders, we should mention the three fields it focuses on: a) the educational field (how the school assumes the education process, what values, attitudes and purposes the school develops); b) the institutional field (school management, organization, resources, etc.); c) the administrative field (teachers, specialists in Therapeutic Pedagogy, number of students per class, timetable, etc.).

The norms to create this official document are stated by the legislation implemented by the stakeholders in the macro-political level. Furthermore, the development of this document has to deal with the micro-political level as far as it is going to be developed in a specific school.



First of all, if we focus on the educational field, we may pay attention to the school organization, cycle equipment, level staff, specific methodology, the assumption of common criteria for students' promotion, students' grouping, evaluation, etc.

Secondly, the institutional field is conditioned by the school external relationships (relationship with the Parents Association, Administration, etc.) and the internal relationship in the school (government/management bodies, functions they assume, commissions, degrees of participation, etc.).

Third and finally, the administrative field related to school economic management, accountability, uses of space, mass-media rooms, etc. Human resources and interpersonal relationships (motivation, communication, and conflicts), regulation of coexistence, selection and promotion of teachers, etc. should never be overlooked. These aspects and the actions involved in education policy hinder the effective management of the school.

The school needs tools to support the actions of the educational community. The teacher that faces multiculturalism and students' diversity acts as a facilitator of the teaching-learning processes. Thus, the development of the educational practice starts from the requirements of prevention and the settlement of students' difficulties, understanding that both conditions must be implemented as soon as possible in the school environment.

The attention to classroom diversity must be assumed in terms of cognitive abilities and in terms of cultural backgrounds. It is therefore imperative to understand that differences and inequalities should be addressed through affirmative strategies and not by universal or standardised solutions within the framework of an inclusive school. This implies the assumption of the principles of intercultural education in line with the growing multiculturalism and diversity that characterizes our society. These actions will favour citizenship education to let students acquire an integral education, a life-long learning process.

Inclusive education should be built in an educational community as a general action framework integrated by all agents involved in the education process. A cooperative endeavour of all education agents and every moment of the school life is essential. In order to achieve these aims, we should promote the students' interest in school work, by reinforcing the previous motivational processes. Moreover, it is also necessary to support the students' learning processes by seeking individual attention, without affecting the group dimension in the classroom work.

Similarly, it is advisable to keep an adequate environment to favour coexistence in the classroom and in the whole school as a prerequisite for the appropriate development of the school work. We do not have to forget that it is necessary to help to reduce school absenteeism and the subsequent students' failure. We should also strengthen cooperation with families, other neighbourhood institutions and other social settings. Therefore, inclusive education in school needs to

establish links that extend and enhance the educational efforts beyond the school environment. Finally, it is also convenient to enhance the process of education innovation, further evaluation and investigation that should feed all innovative proposals.

If schools contribute to the development of inclusive education, the existing measures to address students with specific education needs increase as long as the learning processes are based on their interests and this creates motivation in students. These principles not only sustain the so-called "inclusive school" but also favour integration and inclusion of disabled students.

## ***2. Didactic strategies to approach school inclusion in the Spanish Education System***

Once the stakeholders of inclusive education have been identified, we should analyse how teachers implement the educational processes when dealing with diversity. Obviously, the principles, values and objectives that are reflected in the School Educational Project must be coherent with the educational line of the Administration. It is not enough to establish pattern behaviours but it is a much more complex matter.

To be able to state that a school really develops inclusive education, the school has to combine in its Educational Project and its practice of the education policies, established by the stakeholders and the creation of a school community, concerned with how to deal with multiculturalism, diversity and heterogeneity. This is only possible if teachers build the school reality from their daily interactions. In this way they share a culture which will undergo changes over time as actors or agents also shift.

The school, therefore, is a social construction of its members but it is conditioned by the ideological pressures that come from the macro-political level. These pressures are generated by the stakeholders who implement new education activities, methodologies and principles reflected in the legislation documents. But the common culture shared in a school leads to share values, attitudes and aims that must be related, in turn, and be compatible with those prescribed by the stakeholders. Otherwise, these actions would make no sense.

In the high school where this case study has been developed, an exhaustive and systematic observation to detect the school's culture has been conducted. This observation has allowed us to affirm that inclusive education, with all the issues it implies (values, principles of the didactic process, methodology, tutoring, etc.), has been implemented in a correct way. Not only by what is prescribed by stakeholders, but, rather, thanks to the collaboration of all staff in the assumption of a set of values that govern the teaching-learning processes and that are made explicit in their School Educational Project.

The school methodology focuses on the improvement of a way of learning based on realism, close to the students' foci of interest in order to increase their motivation and promote their autonomy in the development of school tasks as well as in the learning of educational values.

First of all, it is essential that both the school and the environment, and the social reality that it belongs to, are in a close and constant interaction (life-long learning, functional learning...) (Canals, 2004). In this way, the teacher has to know, seek and properly use the possibilities offered by the environment, either in educational, social, cultural terms, tasks, resources, etc. This aspect is essential in the educational process as it determines the effectiveness of our action, and may increase students' motivation, by improving educational services for incoming students or completing the teaching-learning processes in real contexts through meaningful learning.

Second, the didactic process must be based on globalization as an essential methodological principle, as far as it is a mandatory enrolment period, and so far as it is prescribed by current legislation. The contents that the student with specific needs of educational support works on must be closely interrelated with other curricular areas. This means creating educational materials and activities that proceed from the student's reality and which are developed through interdisciplinary projects. In this way, his/her motivation will increase as well as his/her perception of integration in the class group. Therefore, the tasks have to move towards interdisciplinarity, being developed through workshops, specific programs, stories, role-plays, etc.

Third, closely related to the principle of globalization, we highlight cooperative learning. Since the transmission of knowledge is conditioned by the students' diversity, it is necessary to promote the student's socialization. The social dimension of learning is implemented through

cooperative learning, since it is a construction that we do not develop alone but interacting with others. Therefore, it has a social component.

The teacher, from the interpretation of his/her classroom reality, diversity and heterogeneity, from his/her background, will decide what to do -mediational paradigm centered on the teacher (Pérez, 1983)-. He/she is therefore a "reflective planner" (Ibid.: 118) of the teaching-learning process. He/she abandons the standard models -typical of the traditional process-product paradigm- and understands that the teaching-learning processes have to be planned ahead with the aim to develop an initial assessment and provide students with adequate individualized attention.

Cooperative learning involves the development of cooperative skills in students that encourage and improve communication styles, which are essential especially in the disabled students in order to enhance their socialization in their group-class. This learning methodology also involves the use of language as an instrument of dialogue and communication, by building confidence in students when it comes to expressing their opinions and minimizing the consequences that may pose conflict.

Fourth, so as to be cooperative, learning has to be based on a well-done classroom space distribution, according to the characteristics of the task and using the resources required. Therefore, the allocation of roles, resources and space will encourage the development of cooperative skills as well as communication styles. In fact, the direct correlation that develops between the tasks of instruction and classroom management (Doménecht, Traver, Odet & Sales, 2006) brings new ways in the use of classroom spaces. The homogeneous or heterogeneous students' grouping either determined by teacher's selection or through the teacher's instructions, conditions the interaction between students, their cooperation in learning and their socialization.

The classroom is a social space for exchanging experiences, culture, autonomy, communication and socialization (Ibid.). Thus the coexistence of students' heterogeneity and diversity must be improved. In this sense, this social space ought to promote active participation of all students, interaction, exchange, dialogue, etc. Attitudes of acceptance or rejection may arise but it will be a teacher's task to ensure that these are transformed into bonds, self-knowledge and mutual learning.

Thus, the development of guided learning processes will determine the classroom social environment (Arnáiz, 2003). This constitutes the fifth methodological principle, as it is essential in the establishment of techniques, principles and strategies in the teaching-learning processes. The social classroom environment is an essential element in the establishment of interactions and cooperation among students. While a number of factors are involved in its configuration (such as the political-economic-administrative agents, social relationships, communication, culture and architectural features, temporal sites, etc.), its marked complexity provokes the generation of new instruments of mediation. These instruments follow models of social relationships dependent on instructional tasks, on the teacher's and student's roles, as well as in the classroom setting itself (Slavin, 1986).

These relationships established in the classroom can be of cooperation, competitiveness, self-reliance, empathy, rejection, activity-passivity or equality-inequality (Ibid.). Proposed in a dichotomic way, they always set undoubtedly the prevailing culture of the institutions, its beliefs and interpretations of learning. Therefore, the classroom is not an enclosed space, but it is open to dialogue and interaction, in which knowledge is built from experience, reality and students' mediation-intervention. In this sense, the teacher must foster a flexible social classroom environment, open to students' diversity, interests, abilities, skills and attitudes. In other words, it must promote interaction and cooperation among students as an essential element for learning.

The group distribution in the creation of the social classroom environment to develop specific tasks will condition the social relationships among the students and thus promote the inclusion or not of disabled students. If learning is the acquisition of new knowledge from the establishment of social relationships, educational experiences that are generated in that social classroom environment are essential for the acquisition of concepts and the integration of students in society and ultimately in public life (Gimeno, 2008).

Sixth, the teacher should promote the principle of activity. That is, the student has to be the main protagonist of his/her own learning, which appeals to his/her intense cognitive activity, more or less accompanied by motor or manipulative skills and always facilitated by a logic gradation of complexity in tasks. The student becomes an active element in the teaching-learning process. This

implies that the teacher does not fulfil the role of transmitting knowledge; s/he rather acts as a facilitator of the student's learning (Montero, 1991). The student then learns to learn.

This methodological principle, especially widespread in current times with the introduction of the eight basic competences in the Spanish context, allows students to learn and build knowledge with the teacher's input. Thus, independent learning is promoted. If our social classroom environment is adequate, and disabled students feel included in the class-group, they can share and build knowledge together.

However, the teacher should encourage student's activity. If not, there is no learning. If we want a stimulating and attractive task, we have to focus on the student's centres of interest, on his/her reality. Therefore, the teacher must find out the students' concerns and build new relationships with the contents of the curriculum. To promote the principle of activity in the student, to provide his/her with an active role in the development of tasks, implies to select those that arouse more motivation, which are tailored to his/her skills, cognitive level and addressing towards self-learning (Perret-Clermont, 1988). Tasks involving classroom research, experiments, interaction, debates, brainstormings are useful in this regard.

Seventh, students must reach a meaningful learning. He/she has to be able to integrate his/her prior knowledge to the new acquisition, so that the latter will be meaningful, both in the receptive and constructivist learning. Only if this condition is reached, can we talk about functional learning and enable the principle of learning to learn: "The main education paradigm to be followed should be to learn to learn and learning by doing". Meaningful learning is necessary to transfer knowledge to real life situations which involve problem-solving tasks" (Pérez, 2008: 136).

Eighth, the principle of individualisation must also be considered. In order to provide students with an individualized attention we may start from their level of cognitive competence, their previous knowledge, pace of work, etc. (zone of proximal development, Vygotsky, 1978). This involves a system of reinforcements, rewards, incentives... to the achievement of the learning aims that must be immediate and very tight to their interests. The teaching-learning processes must be adapted to the characteristics of each student, as they are different and have different cognitive processing.

Similarly, their interests, motivations and concerns are far from each other; thus teaching practice should include an individualized instruction tailored to each student's needs. The cards, individual work, concept of mapping, etc. are of great help in the process of individualized instruction. It is through the implementation of cooperative learning where individualization is made compatible with this methodological principle, by diversifying the teaching-learning processes. These kinds of tasks improve both the socialization and inclusion of disabled and immigrant students and the acquisition of learning.

These ten methodological principles must be developed by using different teaching resources, different means involving different languages (auditory, visual, audio-visual, body language, etc.). In this sense, we stimulate all students' senses, not just language. Especially relevant are Information and Communication Technologies (ICT) in this education context. The computer, the digital interactive whiteboard are very motivating for these students, by allowing them to individualise their learning pace.

Moreover, classroom organization is especially relevant in the processes of school inclusion. Students with special education needs must feel comfortable. The classroom distribution may favour communication between the teacher and the students. There are different ways to group students in the classroom. The most suitable are essentially flexible students' grouping formed by appointment of the teacher, students' free choice, or with heterogeneous groups (always keeping in mind the gender) or homogeneous in terms of learning levels.

Groups can develop the same task or carry out differentiated tasks, which are then pooled. In this sense, work in pairs is also an option. Obviously, given the students' characteristics, the teacher may then establish working groups to be more effective for the purposes of socialization because they foster close relationships between their members.

However, depending on the aims to be pursued in each teaching situation and the characteristics of the task, a clever combination of all the options outlined above seems to be a most suitable strategy to keep a social classroom environment. However, besides organizing the classroom, the teacher should consider organisational criteria, such as teamwork and cooperative learning and

coordination with other collaborating agents (coordination of teachers with families and professionals involved in the education process).

To face students' diversity in any school, horizontal organization must favour the relationship between and among different forms of learning, by providing students with strategies to train themselves into adulthood, to let them acquire a social inclusion and reduce their risk of exclusion. The United Nations Convention on the Rights of Children (1959), in the Article 28, established the right of all children to get a basic school education based on equality of opportunities, regardless of their cultural, social or ethnic backgrounds.

The current proposal aimed to promote the education of students with specific education needs should be based on continuous learning, on life-long learning, on cooperative learning. Thus it has to focus on respect and acceptance of individual differences. This involves the development of the principles of inclusive education stated in the School Education Project through the active involvement of the staff, through the human, material and technical resources required, and through the support of the stakeholders.

This educational action must promote the teaching-learning processes in a diverse context, sensitive to multiculturalism present in our society and reflected in the didactic intervention on the basis of the principles of multiculturalism. This project builds on the school culture and the values it assumes. It would be appropriate that these values, principles and aims were also undertaken by those raised by the stakeholders in the legislative acts.

The so-called schools of difficult performance are still a challenge for teachers. The principles of inclusive education contribute to the decline in the number of illiterate population. They provide a solid foundation in the establishment of inclusive education, adapted to the students' needs, their difficulties and being compensatory to reach equal opportunities in education. It is not enough to provide the conditions to make smaller groups in the classroom, or to obtain support from specialist teachers in Therapeutic Pedagogy and Special Education, as stated by the stakeholders of macro-political level.

### **Conclusion:**

Students' diversity and heterogeneity in Spain is endless, especially in Elementary and High Schools. Indeed, it requires highly skilled and motivated professionals to be able to meet that diversity. The specific pedagogical processes must contribute to the creation of a social classroom environment where the student feels comfortable enough and motivated towards learning.

Firstly, the stakeholders determine the most relevant aims, basic competences, contents, methodological principles and assessment criteria to be taught and reached at Elementary and High schools. As far as these are prescriptive, all schools nationwide must develop them. Subsequently, the different Autonomous Communities in Spain adapt those prescriptions to their needs. In the case of Aragon, the Education Administration provides more resources to face students' diversity. However, this lack of coherent development from the macro-political to the micro-political level keeps a handicap in the attention provided, especially to students with specific need of education support.

The main aim is to offer students the individualized attention they require to be able to develop their cognitive and social skills. The schools, on the other hand, set their aims and priorities, following obviously the prescriptions of the Autonomous Education Administration. Among them, learning to learn, being adult, responsible people and acting as such are key principles in any compulsory educational stage.

Other basic aims deal with the development of inclusive education, the improvement of students' achievements, the integration of disabled students, etc. The principles that the school assumes, through the sharing of a common culture built up through daily interaction of all staff members, are reflected in the aims pursued by the school, as they are reflected by the School Educational Project. However, the methodological principles that help in the development of inclusive school are far from the prescriptions and interests of the stakeholders, as the latter do not know the current needs of school. They are not teachers in any classroom, and everything they propose is more theoretical than practical.

Secondly, the teacher's work does not only focus on the students' assessment. He/she has to plan his/her teaching-learning processes create a syllabus design, consider the students' diversity to

propose specific measures to deal with that heterogeneity, etc. When planning the didactic processes, we must do it permanently throughout the learning process (continuous assessment). In this sense, we get the necessary feedback to introduce any changes that may be considered. In other words, teaching is "a decision-making" process, where the teacher is a permanent "decision maker" (Pérez, 1983: 116-117).

When we develop a syllabus design, we decide what to do in the classroom, on the basis of considering the students' characteristics. When carrying out our didactic programming, and depending on the incoming needs, we will consider whether we continue with those aims or we change them (formative assessment). This decision must be taken on the fly, while we develop our teaching-learning processes in the classroom, when we finish the session, the didactic unit, etc. Thus we can assess the learning achieved (final assessment) and once again we get new feedback from our programming for the next didactic process.

Certainly, the learning process of each student is different and so is the result. The knowledge that each one conquers is his/her cognitive construction, peculiar, possibly unique. The student is the mediator for excellence of his/her own learning, the main protagonist. While he/she is learning, a set of interests come into play, closely related to his/her previous life experiences. The knowledge he/she already possesses, and also the cognitive processes that enables him/her to activate them, depends on the input he/she receives. This is the fundamental premise of the mediational student-centered paradigm, in line with the approaches of the cognitive psychology, which understands the teaching-learning praxis as a process that should facilitate the construction of knowledge and the development of student's processing information strategies (Pérez, 1983: 120-122), both in his/her individual work, and in cooperation with his/her peers, and under the teacher's guidance and support.

Thirdly, schools that develop an inclusive education should refine the concept of teaching and learning and attune it to the real achievement of the students' priority aims. Only then can we say that the implementation of an innovative methodology in the treatment of compensatory education contributes to overcoming inequalities in education, to spread schooling to disadvantaged, marginal contexts, and to deal with the growing multiculturalism of the classroom. However, other actions to be undertaken by the whole of the school community could be considered to help in this process of education intervention.

For example, the creation of discussion groups, composed by staff members, and in other cases representatives of parents and other education agents, would feed a situation of permanent critical analysis of the school educational development process. The internal and external assessment of the School Educational Project would complement the performance of different education agents with the input of external agents, experts in education innovation, with the participation in dissemination and discussion forums on education innovations (with gypsy students, immigrants, disabled...). Those discussion forums could be developed both in school and online. Finally, the participation of teachers in life-long learning processes to improve their teaching skills, get more strategies when dealing with diversity, etc.

Moreover, the organisation of life in the classroom in such schools is especially relevant. It requires the assumption of methodological principles set out in the School Educational Project, in order to promote students' interaction, equality of opportunities and non-discrimination. Teachers must establish flexible student groupings, raised within the class group or groups, involving two different groups of the same cycle. Strictly speaking, a non-graduate teaching within each cycle could be implemented, provided that the non-graduation work would focus on the development of instrumental techniques. Depending on the aims of each didactic task, both strategies could be used.

Finally, flexibility in planning and the use of space and time must be open: flexibility in students' grouping requires acting in accordance with the classroom space distribution or cycle spaces and, in turn, teachers have to distribute time depending on the activities to be developed. As a general rule, short time periods are convenient for each subject, task, in order to avoid fatigue and students' disinterest.

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## **EDUCATIONAL EFFECT RELATIONSHIP BETWEEN TEACHER AND PUPIL MOTIVATION SPORTS PHYSICAL ACTIVITY IN MIDDLE SCHOOL EDUCATION (11 YEARS -14 YEARS). FIELD STUDY IN ALGERIA**

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### **Abstract:**

The relationship between teacher and student is of extreme importance, especially as the latter is going through a delicate period in his life require planned to meet the requirements of the positive relationship in education and influence the psyche and personality and then impact in the community beyond.

The most important characteristic of human from other organisms other being a social being by nature it affects and is affected at the same time by culture, traditions and customs of the society, and in this context says sociologist (role Chaim): \* it when he speaks of human society is the one who speaks.

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**Key Words:** Motivation, sportm middle school education

The learning process has conditions and special factors reflected in turn on the individual per se in its path and performance life where these affect conditions on the school and its role in the formation of the individual and the development level and collected educational and scientific, for example those circumstances and factors framing and material and human resources available there and Moreover, the deal The friction happening between the pupil and his companions or colleagues within the organization may be in the conditions and factors that may reflect either positively or negatively on itself and in particular the behavior and performance and the extent of formation of his personality, and most importantly of all, the relationship of educational facilities between teacher and pupil if we acknowledge that Professor is the mirror of the personality of the student.

There is no doubt that those conditions and factors the school and already talk where are associated as well as the exercise of the pupil of physical activity and sport and there is a relationship between those systems and physical activity sports., And from that wanted us Search link happening between systems of socialization, physical activity and sports, as well as the relationship that combine professor pupil.

The Physical Education and Sport material Academy have effective role in the formation and crystallized personal student of all aspects of physical, psychological, and social and moral and cognitive and in the composition of the individual interest capable of work and production, and to do his duty towards the same and his family and his community and his country has also State will strive to make it a compulsory subject until it became official where students tested at the end of each phase of study in order to keep the list due to the extreme importance and nevertheless found to suffer different constraints affect the students' motivation to do in schools and educational institutions

How can actually see professors of their profession and their relationship with students, and how they perceive as well as the power associated with the system specified for their profession and the need to improve their relationships with their students?

Are allowed the school system applying their theoretical philosophy and attitudes with pedagogical pension act in everyday reality?

- What are the negative obstacles that affect the practice of student motivation for physical activity sports.

And also recognize that the point of view of the majority of teachers are not enough? It must also take the views of students, who are not accustomed to hearing as a group? This necessitated us to

investigate the second accompanied by the first investigation focuses on the way the student thinks about at the moment and the nine Kmtmadr and its relationship generally applicable system, and a particular school.

## 2 - Assumptions:

Hypothesis: there is a correlation between educational relationship and exercise student physical activity and sports.

Partial hypotheses:

- The lack of pedagogical methods, devices and sports facilities have a negative impact on turnout pupils to practice T.. B. R. and this according to sex

- There is a relationship between size seeking to share physical education and sports and exercise student physical activity and sports

- Pedagogical behaviors breeders affecting the degree of motivation of pupils to practice T.. B. R. and favor more females than males

- There is a linear relationship between the degree of Iqbal buddy group on physical activity and sports, as well as to encourage them and motivate them and practice of student physical activity and sports

## 3 - Research objectives:

Among the targets that we seek to achieve in this research are:

- Detection of professors look to their status and their relationship with current students.

Know the facts that make the student and his family hide behind medical certificates and exemptions and Alaamarat and partial interruption and kidney T. practice. B. T

- Disclosure of the need to develop power associated professor and upgrading function in its relationship with the class, who works with him

Identify the needs and interests of students through exercise.

Identify the student's feelings toward his teacher and conditions of the organization during class.

Knowledge of the various constraints encountered by TNT. B. T

Show T. fact. B. T on the ground

## 4 - Identify key reformers:

The concept of motivation: by (Osama full salary 1990)

Motivation: sports are willing to make the effort to achieve a particular goal and in order to understand this definition should be noted to the important elements:

Motivation: is an internal process that a person is forced to act (Edward Murray writing motivation and emotion 1988)

Physical Education and Sport:

Makarem knows Abu Hrhj and others (2002) as a full part of the public education activities conducted via selected on a scientific basis in place under the supervision of qualified in order to achieve comprehensive and balanced growth of the individual.

And known (Isamuddin Metwally Abdullah 2008) as part of the education that result in physical and mental changes and social and psychological in the individual through the exercise of sports activities and acquisition of motor experiences.

**Constraints:** (according to Ali bin Hadia 1991):

Everything that hinders any thing standing in his way and prevented him and constraints can be defined as the problems and things that impede the normal order of things.

Similar studies related to the topic: addressing the previous studies and is similar to various efforts by former researchers and recognition for them, and fur of opinions and theories and suggestions to researchers in the future.

**5 - search procedures:**

5.1 - Research Methodology: we use descriptive method which is based on the description of what is the object of analysis and interpretation. And not to forget the scoping study to determine the possibility of measuring the topic search and amenability to study and field visits and interviews to several educational institutions.

5.2 - the research community: represent the research community in physical education professors and sports medium-phase as well as the average education pupils practitioners of Physical Education and Sports.

5.3 - Sample search: Consisted of 62 professor of middle school, in addition to 295 pupils. The sample was chosen randomly, and it is one of the simplest ways to choose to add to the sample and give equal opportunities to most of the original members of society without discrimination or considerations of race or other attributes.

5.4 - Search Tools: The questionnaire contains 57 words spread over 4 axes (personal - educational - socialization - social material (economic)

As for the students has included a questionnaire for students (18) question was divided into two:

The first axis included 10 questions relating to the personal judgment of children around the practice of sport and his teacher, and the way his administration for the regiment, the second axis, ensuring 08 questions revolved around the organization and share the student and professor relationship nature.

The questionnaire also directed for students 11 questions about seeing the student of the conditions for the exercise n b t and roads that organization.

5-5 - reliability and validity of the questionnaire: Account reliability coefficient of Spearman Brown (SPEARMAN) provide forms for a sample of 20 students omitted from the sample and returned after about (15 - 20 days) reliability coefficient equal to 0.86 and that's been very positive.

And sincerity of the questionnaire after presentation to a group of professors of arbitrators for approval and change and deletion.

5-6 - Statistical method:

- Descriptive treatment: duplicates (v) and percentages (%) and aggregates ( $\Sigma$ )
- Researcher also used statistical program belts of Social Sciences Spss

**6 - search results are displayed:**

1 - The first axis (personal constraints)

P phrase by questionnaire answer

Yes no opinion phrases not

T% c% c%

1 1 - physical weakness of my means 112% 6.32 38% 3; 82 450 8%, 84

2 6 - lack of improvement in my motor skills 157 8%, 85 59% 5 93 384% 7.63

3 11 - Ttabqa chronic diseases 129% 7.27 100% 10.06 371% 7.37

4 16 - Taigueni my injuries suffered by the former 136% 7.66 95% 9.55 369% 7,33

5 21 - I prefer to be always on my own 128% 7.21 67% 6.74 405% 8.04

6 26 - Tnqsna confidence in myself much 139% 7.83 62% 6.23 399% 7.92

7 31 - my previous experience bad for Physical Education 121% 6.82 72

% 7.24 407% 8.08

8 36 - bothered when I try and fail in my motor skills 330% 18.60 50% 5.03 220% 4.37

9 41 - having problems because of Qamte 93% 5.24 64% 6.43 443% 8.80

10 46 - having problems because of my excess weight in front of my colleagues

66% 3.72 101% 10.16 433% 8.60

11 50 - having problems because of the thinnest body in front of my colleagues 64% 119% 11.97 3.60

417% 8.28

12 54 - I feel inferiority in front of my distinguished colleagues mathematically 147% 8.28 95% 9.55

358% 7.11

13 56 - bothers me change my clothes with my friends 152% 8.56 72% 7.24 376% 7.47

Total 1174 100% 994 100% 5032 100%

Table 1: The frequency and percentages for phrases axis your personal constraints

## 2 - The second axis constraints socialization:

P phrase by questionnaire answer

Yes no opinion phrases not

T% c% c%

1	2	- look at my family negative about physical education	42%	2.5	39%	3.59	519%	10.23	
2	7	- my view of religion does not allow me to practice sports	58%	3.53	72%	6.62	470%	9.26	
3	12	- the media does not support school sports	356%	24.10	87%	8.01	117%	2.30	
4	17	- my friends do not encourage me exercise	157%	9.55	84%	7.73	359%	7.07	
5	22	- Oarafa and Tqalide not allow me to practice sports	61%	3.71	66%	6.07	473%	9.32	
6	27	- my gaze for girls sports negative	76%	4.62	73%	6.72	451%	8.89	
7	32	- my limited 236 sports culture%	14.36	91%	8.37	273%	5.38		
8	37	- The physical education is a waste of time and effort	36%	2.19	54%	4.97	510%	10.05	
9	42	- I'm embarrassed to socialize in the share of Physical Education	203%	12.35	69%	6.35	328%	6.46	
10	47	- تشغلي physical education for my studies and my review of	68%	4.13	59%	5.43	473%	9.32	
11	51	- I feel upset in the share of physical education because I am wearing hijab	118%	7.18	187%	17.21	295%	5.81	
12	55	- having problems because of man my teacher in physical education	71%	4.32	102%	9.39	427%	8.42	
13	57	- bothered of woman my professor in Physical Education	121%	7;	36	103	9.48%	376	7.41%
Total 1643% 100 1087% 100 5071% 100									

Table 2: represents frequencies and percentages for phrases own axis handicaps socialization

## 3 - The third axis private educational constraints (institutional)

P phrase by questionnaire answer

Yes no opinion phrases not

T% c% c%

1	3	- my teacher tells us much cognitive	70%	1;	96	30%	3.68	240%	7.74
2	4	- bother me treated my teacher authoritarian	70%	1.96	40%	4.91	230%	7.42	
3	8	- bother me chaos in the share of Physical Education	140%	3.92	20%	2.45	180%	5.81	
5	13	- bothered when my teacher does not encourage me	200%	5.60	20%	2.45	120%	3.87	
6	14	- bothers me the threat and always rebuke from my teacher	144%	4.03	30%	3.68	166%	5.36	
7	18	- I feel insecure in the share of physical education	70%	1.96	44%	3.68	226%	7.29	
8	19	- Notes and Gtabat my teacher bother me	80%	2.24	40%	4.91	220%	7.10	
9	23	- Leaders in our organization does not motivate us and encourage us all exercise	226%	6.33	30%	3.68	84%	2.71	
10	24	- our organization does not meet our needs in the provision of sports requirements	210%	5.88	40%	4.91	90%	2.90	
11	28	- bothers me the lack of sports facilities in our	235%	6.58	45%	5.52	60%	1.93	
12	29	- Aredana low rate of physical education often	232%	6.50	38%	4.66	70%	2.26	
13	33	- تتعيني density materials other	235%	6.58	25%	3.07	80%	2, 58	
14	34	- I'm embarrassed to time devoted to physical education in the last day	170%	4,	76	35%	4.29	135%	4.35
15	38	- do not have the pleasure practice of physical education in the cold weather and warm	200%	5.60	30%	3.68	110%	3.55	
16	39	- I'm embarrassed to practice physical education without Hall covered	207%	5.79	35%	4.9	98%	3.16	

17 43 - not يريحني play in the stadium is not valid

For use 284% 7.95 21% 2.57 35% 1.13

18 44 - I do not feel pleasure through the practice of physical education 60% 1.68 46% 5.65 234% 7.55 1948

- Having problems because of the share of physical education which is dominated by nature voltage, power and rush

130% 3.64 60 7.37% 150 % 4.84

20 49 - lack of games and interviews makes me bored and despair 190% 5.32 40% 4.91 101% 3.55

21 52 - bother me exercises routine 180% 5.04 59% 7.24 101% 3.26

22 53 - disturbed by our department overcrowded. 100% 2.80 52% 6.38 188% 6.07

Total 3569% 100 814% 100 3097% 100

Table 3: represents the frequency and percentages for phrases axis private educational constraints (institutional)

4 - The third axis on the social constraints of physical:

P phrase by questionnaire answer

Yes no opinion phrases not

T% c% c%

1 5 - I feel despair when I can not buy sports kits 180% 15.54 38% 10.18 122% 7.97

2 10 - I'm embarrassed to lack of comfort conditions in our home 89% 7.68 27% 7.23 224% 14.65

3 15 - Half-calorie food paragraph 70% 6.04 50% 13.40 220% 14.38

4 20 - bothers me borrow Sportswear each share of 130% 11.22 59% 15.83 151% 9.87

5 25 - clothes that does not help me on the motor performance 44% 3.79 37% 9.91 259% 16.93

6 30 - I'm embarrassed to walk a lot to get to the Bretton 187% 16.14 35% 9.38 118% 7.71

7 35 - tired quickly during my performance sports movements 163% 14.07 38% 10.18 139% 9.09

8 40 - I feel tired at the end of the day 222% 19.17 24% 6.43 64% 6.14

9 45 - my family income is not enough our requirements 73% 6.30 65% 17.42 202% 13.21

Total 1158% 100 373% 100 1529% 100

Table 4: represents the frequency and percentages for phrases axis your social and physical constraints.

After we were to analyze the results of each axis in general and college without separation of males and females of the sample estimated 600 students were able to see obstacles in general.

Marked by the table values iterative high percentage as well as the majority consensus was heading on the following:

For your personal constraints axis was in favor of the phrase No. 36, which was show that the failure in the performance of motor skills make students feel upset, which has negative consequences.

For your axis handicaps socialization majority opinions and frequencies and percentages indicate the phrase No. 12, which was the purpose of the media do not support school sports.

This is what makes students because they do not realize its importance in various fields, which also affects the practice negatively.

For axis private educational constraints majority of duplicates and the high percentage shows on the ferry: 28 Make sure that the lack of sports facilities in the educational institutions from within the first reasons for the lack of desire and appetite for practice.

For axis your constraints social and physical, was for a number: 40 which indicates the general fatigue that affects students at the end of the day due to bad compensation process and retrieval energy and lack of balanced diet rich essentials that make the student bear fatigue and effort, whether intellectual or physical.

### Summary analysis of the results:

After we've analyzed gender results when we came to the fact that some common obstacles between males and females.

Which indicates that there are constraints that affect students in general in terms of appetite and aversion and partial withdrawals and perhaps the total of the practice of physical education and sports, including the recall:

**Among personal obstacles in both sexes and found:**

- Bothered when I try and fail in my skills kinetic, and its relationship psychology student or pupil, and for the constraints that are relevant to socialization, we found that the media of both sexes did not instilling in them the love of practice and the various organs visual and print and audio, and for the constraints educational found in males because they love interviews and sports competitions both internal and external.

The first constraint for them is the lack of games and interviews, which makes them feel bored and despair, and this is what affects Daftém and motivation about the practice of physical education.

> And for females and found to be unfit stadiums and sports equipment which Achaaran uneasy for fear of various injuries.

With regard to socio-physical obstacles were all opinions are in the phrase or disability which alludes to the general fatigue at the end of the day due to lack of compensation and energy recovery.

**- The relationship between teacher and pupil as seen by the student:**

**First:** most students recognize that physical activity is considered of great importance (95%).

Shows through which they signify their desire to conduct such activities 81%.

What proves it is their sense of fun and joy during practice 67% as they do not feel never bored (73%) and increase their love for the teacher (62%), and stationed fear during these shares on the fear of failure and difficulties relating to performance and sporting excellence. This achieves the premise that the student pays great value for the exercise of T. b t and great love for the teacher.

With regard to the form of relationship it has with Prof فنجدها mainly concentrated on the degree of freedom granted to him by the hand and entrepreneurial spirit that allows the other hand, increasing the level of communication between him and his teacher.

We find that (58%) of the students believe that he did not allow them any opportunity to choose what they want to do, and (24%) see often speak with their teacher during class, and (55%) of them think that they can not speak with their colleagues, and the remaining possibility go to the teacher in case you encounter difficulties in understanding or low performance (44%) of system considerations regarding the respect and fear of reprimand and punishment.

They are all indications that the conduct of the share of T. b t keep a list of power and leadership prescriptive, and that do not take into account the child and Te and ignorant tendencies contact with him to increase the curb entrepreneurial spirit with him.

But this conclusion calls reflect on another result clearly, is that in this age of 11-14 years did not notice any link in the form of the relationship imposed by the teachers and the sense shown by the child towards him and towards the practice of T. b t generally., Which hide from Teacher real needs and interests of the child.

**Second:** shows the controversy preliminary remarkable contradiction between the desire expressed to practice n b t, and the way in which this practice is conducted,

We find that the majority of students agree about the purpose and practice of private gain health and fitness to acquire mathematical skills necessary to specialize in competitive sport.

The desire to practice and value attached by students as well as the decline of the educational stage to another where he finds 51% of average students fun during practice, compared to 44% of the secondary, and this explains the gradual exclusion of activities that do not meet this importance.

The school system is acceptable by the majority, and in less than a party adult compared younger siblings (54% of the average and 48% of the secondary), and what is unacceptable frankly is how to organize the study where rejects that 38% of pupils average compared to 52% of the secondary, although that this is not a rejection of the majority, but rising strongly from the learning phase to the other.

It is more controversy and complaints that were the subject of discussion is foremost on the relationship between teacher and pupil in the sides relating to freedom and initiative and to communicate and exchange, and this form of this relationship is that explains corruption gradual sense pupil towards his teacher as far as growing and advancing in age.

For 68% of primary school students consider this a good relationship and show their love for their teacher to this figure drops to 35% on average and 32% in the secondary.

If some complain about the way the organization of teaching in particular with regard to places of practice and the availability of the necessary means, overcrowding and even choose the nature of the activity practitioner ... The most important terms of the relationship between teacher and pupil, as required by Professor out a little bit about his personality and openness and closer to the students, by making n b t meet their desires away from requiring them to some activities that do not respond to them, and trust them and give them more freedom in organizing during class. This achieves hypothesis which states that the conditions for the organization of the practice remains unconvincing in the eyes of the student.

### **7 - Conclusion:**

Through this discussion we reached that there are personal constraints related to the psychology of the pupil when he tries and fails when learning motor skills, which have a negative perception of his abilities (physical and skill and technical) and negatively affect him.

Educational and there are obstacles (institutional) due to the lack of games, interviews and sports competitions during physical education class and sports, as well as the lack of means and devices, sports facilities and lack of validity, which feels the student disability to practice physical education.

## SOME IDEAS ON ACTUALIZATION OF TRANSDISCIPLINARY APPROACH IN UNIVERSITIES OF RUSSIA

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### **Abstract:**

The article deals with the problem of transdisciplinary approach implementation in the universities of the Russian Federation. Some definitions of the conceptual term `transdisciplinarity` are cited, the history of the term development is traced, examples of successful application of transdisciplinarity by Russian scientists are submitted. Although the trend to the transition to the transdisciplinary approach in science and educational techniques can be observed at present, the transdisciplinary approach hasn't yet got a mass character in Russia. Ordinary higher schools in the RF are facing a problem of realizing the necessity of such approach and development of necessary measures on transition to the principle of transdisciplinary approach in education and scientific research. Practical measures, which, in the author's view, are to be taken by ordinary higher schools in order to pass on to the transdisciplinarity approach application in their scientific activities and educational process, are described.

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**Key Words:** Transdisciplinary approach, information society, challenges of globalization, sustainable development concept, transdisciplinary scientific research centres, transition tempo

The modern information society has a feature that wasn't inherent in the industrial society, namely, we can observe an accelerated inner social transformation and accelerated scientific-technical and economic development. Under the conditions, the role of universities as centers of knowledge and scientific research has been considerably growing, the degree of responsibilities that universities have is higher, they are getting some new, unknown before, functions, such as responsibility in the field of culture and social relationships, they are required to become something like mediators in conflicts, to contribute into development of democracy, to be centers of social discussions, epicentres of regional and global development.

Another interesting feature of our time is that research works carried out within the universities are becoming equally valuable for companies and corporations no matter whether they belong to the sphere of exact and natural sciences or to the humanitarian sciences. For the most part, the investigated problems in our days have a complex character, so, the problem of integrity of knowledge gets paramount value, becoming more than ever before actual in connection with features of the information society. Transdisciplinarity of scientific problems is such characteristic of the post-classical interpretation of scientific knowledge which holds that science has become essentially intertwined with other cognitive kinds of modern culture practice, and the destiny of modern civilization can't be considered out of the factor of science and its importance for the modern world.

The interest to the theme of transdisciplinarity and its philosophical realization can be traced from remote times. It is sufficient to remember the humanistic ideal `homo universal`, then, perhaps, Encyclopaedism of Enlightenment epoch. One of the philosophers who spoke about insufficiency of specialized knowledge was the French philosopher Auguste Comte (1798-1857), the founder of positivism, asserting that it is necessary to create for studying of general scientific provisions (*généralités scientifiques*) a new separate discipline. One of later attempts of constructing a model of general, uniform knowledge could be found in the novel `The Glass Bead Game` by the German-Swiss novelist Hermann Hesse, where universality of education is seen in the ability to establish conformity between languages of various sciences and to understand principles of their translation from one to another. Unfortunately, within the framework of this article it is impossible to consider the history of the issue in full detail

Today, the urgency of the transdisciplinary approach application in the field of higher education and scientific research has become obvious. According to definition of the essence of higher education which can be found in the World Declaration on Higher Education for the XXI century <sup>[1]</sup>, higher education should strengthen its functions, mainly, by application of the interdisciplinary and transdisciplinary approach to the analysis of problems and issues. Education's reorientation is necessary in the interests of rejecting unstable models of manufacture and consumption, for the sake of solicitous attitude to environment, achieving mutual understanding and social stability, as well as a number of other problems by solving of which the mankind will promote its transition to a sustainable development. The sustainable development concept through applying a transdisciplinary approach is getting widely spread at the universal level, including Russia, with the most progressively minded scientists and organizations as well as the world community acting as its ideologists.

For the first time the term "transdisciplinarity" was offered by the Swiss psychologist and philosopher Jean Piaget in 1970 in his report at the international workshop "Interdisciplinarity - Teaching and Research Problems in Universities", organized by the Organization for Economic Cooperation and Development (OECD), in collaboration with the French Ministry of National Education and University of Nice. According to Piaget's interpretation of the term, transdisciplinarity is not limited to recognize the interactions and or reciprocities between the specialized researches, but it will locate these links inside a total system without stable boundaries between the disciplines.

At present, there are several definitions of the term "transdisciplinarity" in the world science, one of which is reduced to that transdisciplinarity is considered as a principle of the organizing scientific knowledge, which provides ample opportunities of interaction of many disciplines at solving complex problems of the nature and society. It is necessary to notice that such definition of the term allows scientists to carry out their research beyond the boundaries of their discipline, without being afraid to be accused of amateurishness. Depending on in what quantity and in what combination scientists will use other disciplines in the disciplinary research, transdisciplinarity may be called interdisciplinarity or multidisciplinarity.

According to results of researches of Belgian scientist A. Judge <sup>[2]</sup>, there exist four kinds of transdisciplinarity in the modern science. He organizes his classification according to the growing degree of the term's complexity. So, transdisciplinarity-1 is the most general notion. This kind of transdisciplinarity is based on efforts of formal interrelation in comprehending separate disciplines. It provides formation of logic meta-frameworks by means of which, knowledge can be integrated at higher level of abstraction, than it occurs in multidisciplinarity. Transdisciplinarity 1 is often used at work of various expert systems, and expert groups. Transdisciplinarity 2 has closer internal communication with the personal experience of the researcher, including meditation. The next kind of transdisciplinarity (Transdisciplinarity 3), is connected with using general metaphors having fundamental informative value. And, finally, on the top of the hierarchy there is the highest kind of transdisciplinarity (Transdisciplinarity 4), that assumes the system approach according to which the world is a uniform ordered environment where elements are an aggregation of causes and consequences of its existence; general and private regulations and laws; phenomena, objects and processes, as well as their properties, communications and interactions at any level of the reality.

The key category of transdisciplinarity philosophy is the category `trans-uniformity` - such kind of uniformity which isn't isolated from the surrounding phenomenon but reflects it as another essence, incorporating its definitions and acting as a category of the multi-uniformity <sup>[3]</sup>.

Undoubtedly, the concept of disciplinary approach in science and education has not yet entirely disappeared. Due to the pressure for academic specialization, new disciplines and sub-disciplines are appearing at present. On the other hand, social development is a strong stimulus for emerging of new forms of transdisciplinary cooperation, such as transdisciplinary scientific research centres, it causes alteration of university organizational structure, there are found new forms of financing scientific investigations, etc.

Starting from mid - 1980-s, in developed industrial countries such as the USA, Japan, EC countries, there have appeared a number of transdisciplinary institutions and research centers, transdisciplinary subdivisions are being established at universities, the size varying from several scientists up to big scientific research structures having a formalized status in the university structure.

As for Russia, the trend of coming to the transdisciplinary approach in science and education can also be observed, although the transition tempo is rather slow. According to the Long-Term Forecast of scientific-technological development of the Russian Federation<sup>[4]</sup>, (till 2025), growing significance is attached to interdisciplinary research in Russia as it is associated with new breaks in science.

A good example of the trend is Scientific-Educational Centre on Nano-Technologies established at the Moscow State University. In the research work being carried out at the centre, there participate specialists from different departments and faculties such as physical, chemical, biological, sciences about materials, bioengineering and biocomputer science, fundamental medicine departments.

Another good example is the Russian Centre of Fundamental Research which is also actively engaged in interdisciplinary investigations on the joint of medicine and physics, in the field of creation of biocompatible to the human body implants, which have already received wide recognition.

However, the transdisciplinary approach hasn't yet got a mass character in Russia. But it should be emphasized that historically interdisciplinary approach has been present in Russian science since the time of Mendeleev and Vernadsky. The success of I. R. Prigogine, a Belgian physical chemist and Nobel Laureate of Russian origin, noted for his work on dissipative structures, complex systems, and irreversibility) is in many respects connected by that he has introduced these traditions in the Western science. These traditions are alive in Russian science. Moreover, on their basis in the USSR, there emerged a new scientific trend known as synergetics which is the empirical study of systems in transformation, with an emphasis on total system behavior unpredicted by the behavior of any isolated components, including humanity's role as both participant and observer. Within the trend's frameworks, informal groups are created, scientific research works are carried out and published, seminars and conferences are organized. The basic subjects and the purposes of synergetics are similar to those of the the American Santa Fe Institute, research and education center dedicated to the multidisciplinary study of the fundamental principles of complex adaptive systems. Unfortunately, at present there is no scientist in Russia who could be so grand-scaled in his activities that he would undertake an enormous task of creating an organization like the Santa Fe Institute as Murray Gell-Mann, an American physicist, one of the leading figures in the SFI, which he cofounded in 1984.

As for ordinary higher schools in the RF, it should be noted that they are facing a problem on realizing the necessity of transdisciplinary approach and development of necessary measures on transition to its principle in education and scientific research. As it appears, the model of such transition for each higher school is exclusively individual and depends on many circumstances, but there are some general points which the higher school management should take into consideration.

First of all, it is a question of non-state sources of financing. Russian businessmen (certainly, only few of them) sponsor science, but in a smaller scale than businessmen abroad do. They are guided by formal criteria (citing index, international recognition, etc.). They haven't reflected yet over the question in what the purpose and meaning of life is. Probably, if they did, there would be an analog of the SFI in Russia. So, in order to provide financing of transdisciplinary research and educational process` expenses, an ordinary university should form an alliance with various organizations, business companies, funds, expert agencies, manufacturing enterprises etc. To be able to do all this, the higher school in the Russian Federation should abandon its familiar former command-administrative model of management which it has got in the inheritance from the Soviet period. The mechanism of the university management should be modernized on principles of so-called `organic management`, which means supporting on the initiative of the teaching staff and understanding of the purposes and problems of the higher school development by all members of the academia. University professors, who were previously deprived of opportunity to solve the problems of financial flows` provision, should now be actively engaged in these new for them spheres and they should be delegated all necessary rights by the university to do so. It means more work to be done, but certainly it will benefit the university.

Secondly, in order to raise money for its research activities and educational process on the innovation base, the university should take measures on strengthening its image both in the RF and abroad. This would mean further costs on various PR activities (radio- and TV advertising, participation of the staff in various TV talk shows, releasing films, setting up a magazine for the prospective students, etc.) that would increase the human flow to the university, and consequently, there would be some additional financing for the transdisciplinary research on the base of the university.

And, finally, it would be a good idea to follow advice given by the Romanian physicist B. Nikolesku<sup>[5]</sup> who recommends creating at universities a transdisciplinary department in which experts from all other university departments would work independently from the work in their own departments spending there about 10% of the working hours.

However, neither in Russia nor in other countries can a positive attitude to the creation of transdisciplinary departments in universities be regarded unanimous. In some sources, there can be found severe scepticism to the creation of transdisciplinary departments at universities. So, for example, in K. Sherren's research<sup>[6]</sup> the authors express their doubt in the necessity of creating interdisciplinary branches at universities. Analyzing activity of two interdisciplinary university departments, they underline problems of keeping up of working conditions within such departments. In any case, it seems reasonable for any university in the RF, before transition to the transdisciplinary approach, to make clear for every member of the teaching staff the following questions and attempt answering them:

- What do we need transdisciplinary approach for?
- What exactly should be done in my department/faculty/ for providing this approach?
- How should we update the management system of the university so that not to damage the valuable elements of the structure which have been solving the task of keeping up the fundamental research in our university?

To conclude, in combination with other innovative forms of scientific research and education, transdisciplinarity will allow the whole system of higher education in the Russian Federation, which is unfortunately lagging behind most of the EC countries, to meet the challenges of globalization in the XXI century and occupy a worthy place in the system of global education.

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## THE TEACHING-LEARNING PROCESSES: PROPOSALS FOR THE IMPROVEMENT OF THE STUDENTS' LEARNING IN THE TEACHER TRAINING MASTER'S DEGREE

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### Abstract:

The Bologna Process has substantially modified the structure of the new curricula at European universities, especially in the Master's degrees. Social and labour demands increasingly require more specialized professionals. The Faculty of Education at the University of Zaragoza implemented in the academic year 2009/2010 the Master in Teacher Training for High School Teachers aimed at training future teachers of different degrees in the acquisition of teaching techniques and methodologies to carry out their professional work as teachers. This article proposes objectives, methods and activities for achieving learning outcomes in the Master compulsory module entitled "Context of Teaching Task" (CTT). Therefore, it analysis the training needs of the students of the Master's Degree in the Teacher Training paying special attention to the incorporation of new assessment systems that provide students with the feedback that they need.

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**Key Words:** Learning outcomes, meaningful learning, teacher training, methodological principles, cooperative learning

### Introduction:

The Faculty of Education of the University of Zaragoza introduced in the academic year 2009/2010 the Teacher Training Master for High School Teachers. Students eligible to attend this Master are qualified and trained graduates who have decided to engage in the pedagogical development of the teaching profession. In this sense, they are adults who already have a university degree. However, they lack a solid understanding of the teaching-learning process, as well as of methodological principles to undertake their work as teachers. The purpose of the Master is to provide Teachers of High School, Secondary Education, Vocational Training and Teachers of Language Teaching, of Arts and of Sports with specific teacher training mandatory in our society for the exercise of the profession in accordance with the provisions of the Act 2/2006, of 3<sup>rd</sup> of May, of Education, Royal Decree 1393/2007, Royal Decree 1834/2008, and the Order ECI 3858/2007 of 27 December<sup>241</sup>.

The Master' Degree is one year in duration and consists of generic and specific modules. In the generic modules students take general educational subjects, dealing with aspects such as school organisation, tutorial and guidance, mentoring processes and basic psychological principles throughout the first quarter, modules which may be given another name but whose contents refer to those mentioned. Once acquired these specific competences, students enrolled in the second semester study specific modules related to the degree with which they have accessed the Master. They also have a *Practicum* divided into three phases, so that they can observe the operation of a Secondary School. They should write a series of papers in the period of the *Practicum* from the analysis of institutional documents, such as the School Educational Project, the School Curriculum Project, the School Coexistence Plan, etc.

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<sup>241</sup> <http://titulaciones.unizar.es/master-secundaria/> (Last accessed: 04/03/2013).

## **1. Proposal of learning outcomes for the CTT Module of the University Teacher Training Master for High School Teachers, Secondary Education, Vocational Training and Teachers of Language Teaching, of Arts and of Sports**

Students who complete a Diploma or Degree in areas not directly related to teaching lack the teacher training education needed to develop it. The work of the teacher in the stages of the education system of secondary education requires specific knowledge of the socio-educational reality in which he will act as a professional practitioner in the future. Therefore, students who wish to pursue teaching in the field of secondary education should know the functioning of schools in the micro-political and macro-political levels and acquire training on interpersonal relationships, the involvement of the various educational agents, the functions of counselling services and also concerning the relationships between family and school.

The Module "Context of Teaching Activity" (CTT), compulsory in the University Teacher Training Master for High School Teachers, Secondary Education, Vocational Training and Teachers of Language Teaching, of Arts and of Sports, provides specific training on the organisation and operation of schools, as well as relations with society. Given that educational institutions have an idiosyncratic culture, determined by the legislative action of the three types of educational administration (central, regional and local) future teachers must be trained in specific contents that allow them to develop their professional work.

Curricular requirements arise as a result of innovation processes that are introduced by lawmakers of education laws that competent legislative bodies approve. This makes it necessary to know the current educational guidelines to be followed in each of the stages of the education system. Similarly, the work of the future teacher requires the acquisition of skills needed to let him know, evaluate and analyse institutional documents that mark the performance of teachers as an educational community (Antunez, 1993). Consequently, the context in which this Master takes place requires the development of specific learning outcomes in each of the modules that allow students to acquire the necessary skills. At least the following learning outcomes in the CTT module should be considered in line with the syllabus:

- 1) To demonstrate with concrete case analysis that the prospective teacher understands the micropolitical plane relations of the education system.
- 2) To describe the process of socialisation and education with examples of reciprocal influences between society and education.
- 3) To assess formal and non-formal teaching detailing the educational and employment challenges and understand the relationship between the social and the educational systems.
- 4) To manage current educational legislation with a diachronic view showing knowledge of the prior education system regulations in our country.
- 5) To value the culture of educational institutions as a part of the school organization paradigms (macro-level aspect) through the critical analysis of institutional documents (the School Educational Project, social climate, the Stage Curriculum Project, Internal Regulations, Annual Plan, Annual Report).
- 6) To develop the Tutorial Action Plan showing understanding of basic skills, planning and management of the evaluation sessions, the intervention of the Educational Orientation Team and of psychologists and vertical and horizontal coordination, and *staff*.

The achievement of these learning outcomes requires the definition of generic and specific goals and objectives. Regarding the former, it should be noted that this Module of the University Teacher Training Master for High School Teachers, Secondary Education, Vocational Training and Teachers of Language Teaching, of Arts and of Sports, mandatory for all students, is oriented for university graduates who wish to develop the teaching profession in Secondary Education. So the objective is to receive specific training under the current legislative and institutional framework from the study of the historical evolution of the Spanish education system. In this sense, the ultimate goal is for students to acquire specific training on the educational context in which they will develop their teaching.

Since this Master is addressed for future teachers of both the stage of compulsory secondary education and also non-compulsory secondary education, students acquire knowledge of the functioning of the school, the teaching-learning processes and relationships that are generated in them (paradigms, relationships between the various educational agents, role of the family, training and functions of the management team, intervention of counsellors, etc.). It becomes essential that students get to know and becomes familiar with the context in which they will develop their teaching and the relationships established in the different educational institutions (Apple, 1987).

They will also acquire specific knowledge about the intervention, roles and relationships with the family depending on the educational stage in question. The completion of this module will allow the student to know the relationship between the teaching profession, the school, the family and society through the study of specific competences and sub-competences, functions, levels of organisation, curriculum requirements, projects and activities. Furthermore, a set of specific objectives must be established in line with the educational program, such as the following:

- 1) To analyse legislative developments from the Act of Education (1970), [Ley de Educación, 1970] up to the current Act 2/2006, of 3<sup>rd</sup> of May, of Education.
- 2) To assess the changes produced in the educational system from the introduction of basic skills in the early stages of compulsory school of the educational system.
- 3) To understand the links between the social and educational systems by analysing the relationship between the family and the school.
- 4) To interpret the relationship between the school, the family and the community to develop the teaching profession from an integrated perspective.
- 5) To differentiate between the micro-level and the macro-level aspects in educational institutions.
- 6) To identify the social, economic and cultural schools through institutional documents and environmental resources.

The learning outcomes that students acquire at the end of this module are important because they help them learn the inner workings of the school as an educational institution. If the student has acquired specific contents related to training and guidance, technology and tourism, but does not know how a school works, he cannot adequately develop his teaching.

The analysis of the paradigms of school organization will allow the student to know the micro- and macro-level aspects of educational institutions, thus providing him with training about decisions, the lobbies, the concept of school institution, how assessment processes are conceived, etc. Since the role of the family is important in the teaching-learning process, the student may interpret the necessary collaborative relationship to be established with the family, the socialisation of the student and the reciprocal influences in the socio-educational field.

Innovation processes that education is undergoing in the present twenty-first century introduce constant challenges in the education system (Hatch, 1997). Students will learn current trends in education and will consider the need for training in certain lines of action for education legislation through the culture emerging in educational institutions. Therefore, the student will become competent in the knowledge of the structure of schools, their operation and organisational levels (Martin-Moreno, 1996).

Students will acquire specific knowledge related to current legislation through the diachronic study of the evolution of the educational laws from 1970 to the present. This will allow them to assess the training needs identified by the sociological and technological development and introduce processes of improvement in their teaching performance.

Moreover, the guidelines of the Educational Administration make it necessary that students know the main priorities and lines of action in the school included in institutional documents. The student will therefore be more competent in the knowledge and assessment of current trends in the educational system. The introduction of skills in the different teachings of the period of Secondary Education (compulsory and post-compulsory) requires specific teaching strategies and methodologies.

The student will acquire these strategies and methodological principles after the analysis of specific cases (disruptive behaviour). Then he finishes this module, the student will be able to assess

the importance of the relationship between the family and educational institutions as part of a comprehensive education, directed to insert occupationally the student into society.

## **2. Methodological principles designed to promote meaningful learning**

Module 1 CTT of the Teacher Training Master for High School Teachers seeks, as one of its aims, to provide students with teacher training needed to perform their professional practice. Therefore, it is necessary to start with the theoretical and practical knowledge of the main teaching paradigms (Ball, 1989; Bolívar, 2000; Fernández and Terrén, 2008) and offer students an overview of the organisational structure of the education system, where the reference document required in this regard is the current education legislation (Organic Act 2/2006 of 3<sup>rd</sup> of May of Education). The acquisition of theoretical principles needed to develop adequate practice will make it possible to gradually introduce the methodological principles.

Regarding the methodology, this module should promote the active participation of the students, who are the main protagonist of their own learning, a fact which appeals to their intense cognitive activity, always facilitated by the logic gradation of the complexity of planned activities. The adjustment of the educational process to the level of the student's cognitive competence is required, with particular attention to the area of potential development in terms of Vygotsky. With such an aim in mind, the meaningful learning of students will be developed, based on their level of prior knowledge and thereafter introducing the necessary fundamentals of psychology.

The student must know how educational institutions work, and also the norms and standards set by the educational legislation in shaping the macro-and micro-political level. To acquire the psycho-educational foundation needed, the individualization of teaching-learning will be weighted from the implementation of Ausubelian theories. The acquisition of *learning to learn*, of lifelong learning and of meaningful learning will stem from the diversification of teaching-learning situations as a methodological principle that is, at the same time, an organisational criterion.

The management of activities will depart from lectures, accompanied by workshops where implementation in groups composed of free designation of school organization paradigms (positivist, interpretive and critical-symbolic) will prevail. Students will undertake practical work in groups which will subsequently be exposed to the rest of the class group. The practical part of the module will be supplemented by tutoring and individualized work through student participation in forums on the platform "Moodle". To proceed with the development of teaching in this module, the teacher will start with an expository method of specific contents that will form the psycho-pedagogic foundation to be acquired. This will be followed by a single case study where students actively participate in the formation of a theoretical framework together with a brief quantitative research. Due to pedagogical limitations of the students of this Master, it is not yet possible to introduce qualitative methods for data analysis.

The acquisition of the psycho-pedagogic fundamentals affecting this module will be based on problem-solving and practical exercises (both group and individually). However, this training is supplemented by problem-based learning. Students must resolve cases the teacher puts forward (e.g., how to act in a Secondary School to psycho-pedagogically intervene in cases of disruptive behaviour of students) with a proper implementation of the theoretical contents of the module together with a proposal that includes psycho-educational intervention to develop methodological principles in the classroom. The student must encourage the development of a comprehensive and interdisciplinary approach.

Cooperative learning will be a key methodological principle that will enable students to acquire an active role in the development of teaching-learning situations and will also encourage their interaction with peers from very different degrees. The grouping of students is an important criterion when selecting the methodological principles. Depending on the objectives of the various activities, students can form homogeneous groups in terms of their level of cognitive competence for case studies. At other times, students will form heterogeneous groups where skill and / or experience of some students over others will prevail, always understood from the constructivist perspective. Finally, the grouping of students, given the evolutionary period of their development (Piaget, 1972) may be also be freely undertaken.

Students may form flexible groups, small groups (3-6 students) to develop activities. Similarly, the role of the student in the teaching-learning process will be active at the individual level, thus encouraging activities aimed at the diversity of professional interests (Vocational Training students can solve cases particularly related to their Training cycles, students of degrees such as Engineering, Philology, Economics, etc.. will participate in activities close to the socio-educational reality in which they will later intervene). For learning to be meaningful to the student, as well as to take into account their level of prior knowledge with an initial assessment, the implementation of teaching methods mentioned through learning experiences and activities based on the development of their first *Practicum* in this Master will be included.

The principles of the learning experience of the students will take account of the introduction of grading activities close to their reality and heading toward more distant aspects, starting with what is known to them and heading for what is unknown for them, establishing affordable basics and tending towards the complex (paradigms of school organisation, for example), etc. The role of the student in the principles assumed by both the methodological principle of cooperative learning and by constructivism, is based on the approach to student learning on the basis of his level of development, thus ensuring the usefulness of learning. Therefore, the methodology that develops the psychopedagogical foundations of this Master will also enhance students' interactivity in the learning process, where the teacher will guide the learning process.

### **3. Catalogue of learning activities to be included in the teaching guide for CTT**

Teaching activities developed by the teacher will focus on the practice of learning outcomes. Throughout the first semester (1) the following teaching and learning activities will be undertaken, spreading over 10 weeks of teaching in the Module n. 1, with four attendance teaching hours per week.

**WEEK 1: Learning Outcome 1:** Demonstrate with concrete case analysis that the student understands the micropolitical relations of the educational system.

**TEACHER EDUCATION ACTIVITY:** First, he will proceed with an analysis of specific cases involving externalizing the concepts of the macropolitical and the micropolitical level. To do this, Teacher A will show a video on "The school organisation in educational institutions", downloaded from the website of the UNED. Then, the conceptual items referred to in that video will be discussed with real examples. The teacher will generate a *brainstorming* on the board with the interaction of students discussing the basic ideas of these two concepts.

**LEARNING ACTIVITY OF STUDENTS:** This will consist of conducting a practical group activity where, in groups of four, students must complete a painting. They will be provided with a DIN A-3 sheet containing a table with items on the front lines and the micropolitical and macropolitical planes in the following columns. Students will pay attention to the relationship and similarities of some items and should be able to differentiate the items proposed to them by using the materials that the teacher has previously uploaded in "moodle".

**WEEKS 2 AND 3: Learning Outcome 2:** Describe the process of socialisation and education with examples of reciprocal influences between society and education.

**TEACHER EDUCATION ACTIVITY:** The teacher will show links to web pages that collect socialisation processes in students of Secondary Education (through the page of the Centre for Teachers and Resources, the CAREI, etc.), indicating the importance of the students to socialise and develop their skills in this period of compulsory schooling. In this activity, two documents to be explained in the classroom by the teacher, developing the influences between society and education, will be added as bibliographic reference.

**LEARNING ACTIVITY OF STUDENTS:** Students will develop three activities that promote socialisation in students and show their necessity in today's society. To do this, they will work in pairs and must upload their final product to the "Moodle" platform so that the rest of team-mates can read and add suggestions. The teacher will review and provide students with *feedback* so that they have enough information at the time of completing the activity. One classroom session will be devoted to

discussing with all the class group the activities designed by the different groups, their viability in secondary classrooms and the necessary interaction between society and education.

**WEEK 4: Learning Outcome 3:** Evaluate both formal and non-formal ways of teaching, detailing educational and employment challenges and understanding the relationship between society and the educational system.

**TEACHER EDUCATION ACTIVITY:** The teacher will project a *powerpoint* explaining the current educational challenges. To do so, he will refer to the current educational legislation (Act 2/2006, of 3<sup>rd</sup> of May of Education, LOE) and will relate the objectives of the Act with the facilitation of student employment. An interview with a student of 4th of ESO will be screened, in which his situation will be analysed, comparing the choice of educational routes and assessing the interaction with the appropriate professionals (counsellors).

**LEARNING ACTIVITY OF STUDENTS:** The student will participate in a weekly forum through a space provided for Module 1 "Context of Teaching Activity". The teacher will put forward a question that students must respond by consulting the documents previously worked upon in lectures. The questions will refer to contents developed in the module and will involve the implementation of the content acquired by the student. For example, students must answer the question "How is the education system in the stage of secondary education organised?". To do so, the student will refer to the current educational legislation (Act 2/2006, of 3<sup>rd</sup> of May, of Education, in the relevant chapter). In this way, students will respond taking into consideration Grice's maxims, and may consult the UNESCO documents to extend their contribution. The teacher will take into account the quality and quantity of participation of students through the evaluation of this activity with a rubric.

**WEEK 5 AND 6: Learning Outcome 4:** Manage current educational legislation with a diachronic view showing prior knowledge of rules of the educational system in our country.

**TEACHER EDUCATION ACTIVITY:** The teacher will project on the board a list of questions about conditions of schooling, educational community involvement, participation of parents of students in decision-making processes, years spent by a student, school board functions, features of the management team, and criteria for the organisation of the school. Then he will explain the developments in these areas in each of the education laws since the Education Act (1970) to the current Act 2/2006 of 3<sup>rd</sup> of May, of Education (LOE). He will also provide a diachronic view of education legislation that will allow students to deepen into the teaching of current legislation. To do this, he will show students a Word document which contains the new concepts that have entered the LOE. This will allow him to explain the most significant changes operated in those measures of attention to diversity and the educational and vocational guidance. He will insist upon the fact that professional education cannot just stay within the LOE and the Organic Regulations, because the law does not say everything, there are places that the law does not focus upon, and with technological scientific knowledge, the guidelines for action in schools, organisational models, solutions regarding spaces ... can be implemented, areas where the legislation does not require anything, or does not address them.

**LEARNING ACTIVITY OF STUDENTS:** Students must answer a questionnaire with objective questions on education guidelines established by the current legislation. Once done, students will form groups of four and measures should be designed for diversity for a case that the teacher will propose. Groups where, for example, there is an immigrant student must design a model of language immersion program showing knowledge on measures to such pupils with special educational needs (ACNEAE) established by current legislation. Each group of students will present on the board for the rest of the class the measures proposed to meet the individual educational needs of the individual student. Moreover, once the pattern of performance has been presented, students should prepare a brief section of foundation on legislation to develop the educational provisions of the Statutes for Secondary Education, what steps can be taken, which may have caseloads, etc. This will allow them to complete the training related to educational laws provided by the teacher and will contrast it with the understanding that their peers have reached.

**WEEK 7 and 8: Learning Outcome 5:** Assess the culture of educational institutions as a part of school organisation paradigms (macro-political level) through the critical analysis of institutional documents (school policy, social climate, Stage Curriculum Project, Internal Regulations, Annual Plan, Annual Report). Manage current educational legislation with a diachronic view showing prior knowledge of rules of the educational system in our country.

**TEACHER EDUCATION ACTIVITY:** The teacher will explain what an educational project is, which information it collects and why it is important to know this institutional document. This will enable students to understand that the macro-political level affects all schools alike but it is the micro-political level that provides the differences. The next session will show three educational projects of secondary schools in the city of Zaragoza in which students will appreciate the exposure of values, trends and beliefs in Education that are manifest in these schools. The teacher will show a curricular project stage of an institute in which the organisation of teaching in each of the courses or academic years of the stage of secondary school is presented. Students will have the opportunity to read a real document. Similarly, the teacher will show students internal regulations so they can see the type of sanctions that the school responsible for conducting research stipulates, and which will propose punishment for the final decision for the School Board. These documents allow the teacher to analyse the most representative differences from previous education legislation.

**LEARNING ACTIVITY OF STUDENTS:** Students will freely form groups of five persons and will select one of the official documents presented by the teacher. They must then extract the relevant data and explain them to the group-class, proposing for this, if necessary (as in the Internal Regulations), corrective measures. They will also upload the relevant information in "moodle" to be part of the process of the development of the portfolio to be delivered the day of the exam.

**WEEK 9 and 10: Learning Outcome 6:** Develop a Tutorial Action Plan showing understanding of basic skills, planning and management of the evaluation sessions, intervention of the team of educational psychologists, vertical and horizontal coordination, and staff.

**TEACHER EDUCATION ACTIVITY:** The teacher will show a Tutorial Action Plan and guidelines established by the education authority for its processing. With these instructions the teacher will project an educational intervention in an institute of secondary education which will analyse with students the importance of this document. Also, the teacher will develop and upload on "Moodle" some instructions on the sections that a Tutorial Action Plan must have, together with the sample document.

**LEARNING ACTIVITY OF STUDENTS:** Students will develop one of the sections of the Tutorial Action Plan. The intention is that each group of students, as far as possible, select a different section, so that when all students have completed the work, the final product is a genuine Tutorial Action Plan that will be uploaded to "moodle", so that it can be analysed by the whole class group. The development of these activities will require a series of educational materials. The videos, documentaries and reports will be obtained from the website of the Spanish Open University [UNED], in particular its educational channel. The reference powerpoint to the theoretical contents and the space in "google docs" should be accessible by loading the names of the students.

Since the European Higher Education Area promotes the use of platforms and virtual teaching and learning, in this module the student will enter a space in "moodle unizar"<sup>242</sup> where they can actively participate in 10 forums raised to throughout the weeks of class. This type of virtual environment will allow students to post their own work to be seen by other students, and make suggestions to the work of their peers. On the "moodle" site students also have access to several pdf files and list the skills worked upon on this module. Moreover, teaching resources must also contain the reading and internalization of a series of references, some mandatory and other optional.

#### **4. Types and techniques of evaluation in CTT**

The assessment from the educational perspective, can be of three types depending on the area being evaluated, the three necessarily complementary so that the evaluation process may contribute to the improvement of teaching and learning in which it is integrated: learning of students, the teacher's

<sup>242</sup> <https://moodle.unizar.es/course/view.php?id=1615> (Last accessed: 09/03/2013).

teaching practice and curriculum development processes followed in teaching and learning. Regarding the first, the assessment of student learning, it must be based on the evaluation criteria established in the teaching program of Module 1 CTT of the University Teacher Training Master for High School Teachers, Secondary Education, Vocational Training and Teachers of Language Teaching, of Arts and of Sports, which must comprise the skills and learning outcomes and develop the types of practice. Therefore, after this analysis of competences and learning outcomes, the evaluation process of learning involves the assumption of students' teaching-learning processes and also the methodological principles raised. Thus, we believe that the evaluation process should be based on an initial assessment to identify cognitive ability and prior knowledge of each student. The development of teaching and learning will continue with the ongoing assessment which should provide immediate feedback. For this reason, it is, in turn, a formative evaluation (and therefore continuous, as is done throughout the semester) that allows corrections in the teaching-learning process when the teacher considers them necessary, immediately changing the design that has been proposed in the curriculum development of a specific module. This improves the learning process and contributes to improved results.

Moreover, we believe that criteria evaluation must be made from the content and skills outlined in the program of each of Module 1 of the Teacher Training Master for High School Teachers, always redirected and specified in a type of personal and individualized assessment. We are unable to proceed with a personalized assessment because, if it were real implementation of this work, we would find such a large number of students that would make it unviable. However, the criteria evaluation should be integrated into an overall assessment of the competences in the learning outcomes of this module. Conducting formative continuous assessment makes final evaluation necessary, especially when deciding whether a student has acquired the learning outcomes set out in the syllabus or not.

Another perspective to take in the development of the evaluation process is to include hetero-evaluation. This should be introduced gradually and always accompanied by co-evaluation as it offers students the opportunity to participate in assessing their own learning and forms and prepares them to subsequently introduce a kind of self-assessment, as a final objective of the evaluation process with adults. Also, as an innovation process we suggest the introduction in the evaluation process of the e-portfolio, understood, not as a collection of works in the same module (ie, in our case, Module 1), evaluated, but rather a technique that shows the validity of the practice of this process by giving the student a greater responsibility for self-assessment of their learning.

Considering the three types of assessment put forward, it is necessary to indicate the use of assessment techniques that allow jointly develop these types of assessments. There should be a systematic observation of the degree of acquisition of knowledge and skills in college students. This work is highly complex with numerous groups and more viable in smaller groups. Considering all modules that form the Teacher Training Master for High School Teachers, specific modules have a much smaller number of students and it is therefore more effective and plausible to conduct this type of evaluation. Instead, in Module 1, from experience, there is no development of this type of evaluation, systematic observation, because we cannot ensure that teachers analyse reality and considers all variables with a number between 87 and 117 students. This observation should not be performed systematically as if it were timely observe disruptive behavior of a child of primary school, but with a grid that allows observation class score in achievement the objectives by the student. This would require solving activities individually by the students along the theoretical and practical sessions of the semester. Furthermore, we understand that there should be a systematic observation of the student's participation in the activities that are part of the teaching-learning process. This observation, again, can only be feasible in small group. The completion of an examination by the student, at the university level, is still required even if the three types of assessment can be performed. It is true that the rating of the final marks should reflect the acquisition of content in the student – learning outcomes–, and this is largely evaluable through an examination. However, as we have said, we not have to quantify only through the written exam, but also with other evidence and tests that we have discussed.

We have referred to assessment of student learning as a type of assessment. On the other hand, we consider it very necessary to evaluate the teaching practice itself through criteria and

procedures. In the context of this Master's degree, for Module 1, this type of evaluation should be done on the basis of an individual teacher self-evaluation, since it is not appropriate to develop it as a hetero-evaluation or as a collaborative self-evaluation. However, this assessment technique would, in our view, be the most difficult and cost-effort to perform.

Finally, the third type of assessment is the evaluation of the teaching program, of course, based on criteria and procedures. The evaluation of curriculum modules of the Master gives a rating conditioned by the learning outcomes that students should have acquired by the end of each of the modules. As a result, the activities that the student will perform to demonstrate their knowledge of learning outcomes, the internalization of skills and learning content will address:

Activity 1: In groups of up to four individuals, students will analyse an institutional document. To do this, the teacher will provide a list of several institutional documents, such as the School Educational Project, Internal Regulations, Coexistence Plan or Annual General Programming, and the group must select an institutional document and to reflect critically on the information contained in it. This activity will examine the theoretical, pedagogical principles, criteria for school organization, the establishment of groups, relationships among teachers, the activities undertaken, the criteria for school organisation, the timetable distribution, etc. that are reflected in these documents. This activity will involve 10% of the final marks for the course. Throughout the semester all students must complete four evaluable activities that will contribute to the achievement of learning outcomes, developing and strengthening the competences of this module. Aspects that will be particularly valued involve the conceptual clarity when analyzing what elements are involved in the organisation of the school, which agents make decisions about the organization, what is the influence of the micropolitical level in the organisation and development of the school, as well as the requirements determined and conditioned by the macro-political level. Similarly, the critical capacity of students in their arguments and the language used in writing will also be considered, penalizing spelling and argumentative inconsistency. A student who does not justify and give reasons for his answers, does not show a strong line of argument, and has misspellings will get a negative evaluation of this activity.

Activity 2: Students will analyse the Internal Regulations of a Secondary Education school and will develop three activities that show an intervention in behaviour problems. For this purpose, taking as a reference the content and skills set out in Section 3 of the program, they should observe the ways in which the schools punish the faults of students (the teacher will provide the Internal Regulations so that all students will work with it) and from there they will develop three activities to improve a student's disruptive behavior. This activity will involve 10% of the final marks for the course. The main aspects assessed concern the originality in the creation of the three activities, their adequacy to the level of student cognitive development and a justification of it as a pattern of behavior modification in the student, expressing what they would bring to the student secondary education, what are the improvements in the short and in the long term, and what agents and with what type of material should intervene (counselor, psychologist, professor of Therapeutic Pedagogy, class teacher, support teacher). The main aspects penalized are the mismatch to the evolutionary characteristics of the student, if it does not bring benefits to the student, and the fact that it is not integrated into the content of the teaching program provided for subject.

Activity 3: Students will participate in 10 forums throughout the semester in which they must respond to questions posed by the teacher that will develop learning outcomes. The forums are presented as a weekly activity, so that the student will participate in two forums per week (a total of 20 forums in the semester). They will arise through the "moodle" platform in order to make visible the material for other students, thus fostering their motivation in responses. The fact that the other fellows can see the answers given by any other partner increases the level of individual enforceability while introducing new considerations on the same topic. Students will answer two questions and may also participate in the replies of other colleagues, showing their views, provided it is an argued and reasoned response. The completion of this activity will contribute 20% of the final grade. It will assess the precise response, spelling, typographical and grammatical checking, and will penalise incorrect spelling, typography and punctuation. Students not participating in all forums will have two weeks to finish the

semester to participate in the forums that he has been unable to attend or complete responses. The answers from the forums will also be delivered on paper the day of the exam.

Activity 4: Students will develop an e-portfolio as an innovative tool and facilitator of the evaluation process, designed with an approach different to the traditional one: this is a technique whose application involves the use of several integrated tools and which introduces students to the development of self-assessment of their own learning. The e-portfolio will be made individually by each student and will contain, in addition to the activities in the classroom, within the teaching-learning processes, critical reflections on them, showing theoretical and practical knowledge and skills acquisition. This assessment tool includes a section in which the student makes experiential work attending a school, an institute. In this activity, the e-portfolio, students must do and transcribe two interviews to two teachers in their specialty (which approximates them to the educational reality in which they will subsequently intervene) for information on the methodological principles and classroom organisation (materials and resources). Once transcribed the interview, students must analyse the information obtained and compare them with the theoretical framework provided in class, always in an argumentative way, showing his standpoint and suggesting improvement proposals if they exist. Finally, the e-portfolio will also include, as one of its sections, the reasoned self-evaluation of learning that the student considers.

The portfolio will be digital because students should upload it on the "moodle" platform so that it can be read by other students, and in order to receive comments. We believe that when students are asked to publish their work on digital platforms, this increases their level of motivation, improves their social relationships with the class group and contributes greater enforcement to their learning. These four activities that the students must complete throughout the semester amount to 50% on the final grade, with class attendance as another criterion to qualify for the option of continuous assessment, and active participation in them. Note that the three types of assessment referred to reliably allow the student the assessment of his learning and of learning outcomes.

This typology allows defining learning outcomes not only through the creation of traditional assessment grids but also with active student involvement in the teaching-learning process. The greatest difficulty in making a comprehensive assessment of student learning in this Master resides in the few hours of lessons that can be devoted to an assessment of learning outcomes. The presentation of theoretical content is an instrument that allows a broad appreciation of the skills required of the students; however, in so very numerous groups, at least, it is difficult because if you spend more hours to process theoretical exposure assessment, it detrimental to the delivery of all content for the official program. The time limitation hinders the work of teachers who are trying, as far as possible, to stick to the program to be taught in the context of a specific university training.

The three types of assessment that are raised in this paper, with their corresponding evaluation techniques, allow to assess the results of student learning and achievement and internalization of the skills and competences of this module 1. We conceive that the assessment should be carried out in practice to improve student learning, so that the evaluation must necessarily be continuous and formative. Each activity, as has been proposed has associated to it certain levels of demand, qualities and weight in the final grade of the module.

Furthermore, the tutorial function has a crucial role in order to achieve the necessary empathy with students, address their difficulties in the acquisition of learning outcomes and help guide the process that we develop as teachers. For this purpose, mentoring serves on various levels, necessarily complementary. For one, there is a mentoring of students in the class group in the classroom during the practice sessions. To this action adds an individual tutoring to complete specific content that students do not have clear. In CTT the following specific activities of mentoring are raised:

Activity 1: For guidance and facilitation of the proposed activity in week 1, it is considered necessary to undertake a tutorial in which the teacher explains to the students the elements to be analysed at the macro- and micro-political levels. Depending on the type, the elements will be different. Although the initial starting point is the same for all students, the items that the student group will choose will vary depending on the features that they want to analyse. As this activity is intended in an open manner, in the sense that students should examine all items in the table of DIN-A3 sheet, but at the same time

add their considerations on the elements within each item that they want to look into deeper. In this activity, the mentoring process is essential, as it is difficult for the student to learn to differentiate the two planes and the characteristics and consequences of these in educational institutions. The influence of the micropolitical level determines the organisation of the school and introduces divisions within power groups. These reasons lead us to say that it is extremely important that students clearly differentiate between these two planes. Tutoring would allow the teacher to know the shortcomings of the students in the acquisition of this block of content and improve their knowledge.

Activity 2: To design the three activities that promote socialization and for which students had proposals for weeks 2-3 of the semester, it is advisable to perform a tutorial in which the teacher will observe the student's level of knowledge and can be oriented with specific readings to expand that spectrum, acquire a broader view and proceed with the proposal and design of the activities. It is a complex activity, because in order to design an activity students must know the stage of evolutionary development in which the student of compulsory secondary education is and, considering this level, together with the report of the school, with the characteristics of the group class and with the social relations that are established, he should design activities that improve these processes of socialization. Thus, especially in this activity, the teacher should guide the student, by indicating the characteristics of evolutionary development of this period, showing him as a true picture of the needs that, initially, may have a teenage student. The age at which they are working in secondary education is not easy, and therefore the student must acquire in the Master, not only in this module, but also in others, psycho-pedagogic knowledge that will help him understand the evolutionary developmental period in which the student is. Without this prior knowledge, he cannot proceed with the proposal of socialization activities.

The teacher, therefore, acts as a guide in the learning process, providing facilitating it and providing the student with the human and material resources that he needs. The fact that the students see that the implementation of the activities to be evaluated in this Module 1 has a following, a tutorial, also contributes to their motivation, improving learning outcomes. It really does matter that this process of guidance is provided to students, both in the search for sources of information, as in the understanding of the educational reality. However, it is understood that mentoring is an activity that is offered to the student, neither imposing their assistance, nor counting the frequency of tutoring.

Activity 3: The tutoring activity will focus upon student learning activity designed for weeks 7 and 8. The demands of the activity require the development of a tutorial to strengthen student's knowledge and help achieve the corresponding learning outcome. Although understanding and differentiation of macro-and micro-political level in week 7 of the semester has already been acquired, it is considered necessary to develop a tutorial to help in the acquisition of this content by the student. The selection of the institutional document to which the activity relates and which students have to do is not complex; however, the proposed corrective actions to be performed are indeed so. Therefore, in this case, the teacher mentoring can show an example of several PEC remedies, including, of course, the PCC, and indicate those cases in which the proposal is inadequate, compared to those in which it is suitable. Thus, when students have to perform the proposal of corrective measures, they will have already noticed other models, and he will be able to contrast the pedagogical lines established with greater precision.

Mentoring activities are an essential element of the teaching-learning process, especially in the University studies of Master, in which the level of demand is higher, the number of class-attendance hours declining, and learning outcomes very condensed. Moreover, the skills that students should acquire during this Master Module 1 require the development of certain tutorials; otherwise, it is not feasible to meet the needs and learning difficulties of students. Mentoring in the university plays an important role in that it not only helps to improve student learning and consequently achieve the learning outcomes, but it is also a necessary process guide in acquiring specific contents.

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# CULTURAL IDENTITY, MEANS OF CHOICE OF MASS MEDIA COMMUNICATION AND THE USE OF TECHNOLOGIES AMONG UNIVERSITY STUDENTS

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## Abstract:

This research analyzes the relationship between cultural identity and the selection of media by a group of university students. It analyzes whether the scholastic processes of the university contribute in this selection and what, as university teachers, we want our students to be able to do in their professional lives. The purpose was to identify the significance that they assign to media. The analysis took two methodological dimensions: quantitative and qualitative. In both, the students referred to what they consume and what supports their choice. The research identified that entertainment plays a central and preponderant role in students' life and the predominance of audiovisual media. The university seems to contribute very little to student selection as part of their professional preparation. This paper concludes with a curricular proposal.

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**Key Words:** Cultural identity, choice mass media, university students, cultural consumption, use of technologies, curricular proposal.

## Introduction

Historically, the media effects inside the schools have not always been at the forefront of academic and research discussions and its status has not been considered important in curriculum planning.

This research is an exploratory study about the consumption and extra-curricular cultural practices of a group of students in their last semester at the Universidad Pedagógica Nacional (UPN)<sup>243</sup>. It analyzes the relationship between cultural identity and the choice of mass media among university students. It questions the school process and the education that the university provides in this selection and what we expect all students to do as professionals. The central research question was: How is the selection of cultural consumption made in terms of the function or meaning that the students attribute to each product? The purpose was to identify the sense that they assign to mass media selection and to contribute to the studies about how the media affects people's perceptions of their everyday lives. The mass media is, perhaps, one of the main factors that contributes to the notion of identity.

The students were asked about their consumption of printed media: newspapers, magazines and books; electronic devices: radio, television and cinema; and the use of information and computer technology. The intention was to contribute to the knowledge of the influence that Mass Media Communication (MMC) has on students and how they choose and respond to media. As university teachers, we are thinking about what kind of young generations we want to see and what competences they should develop. By and large, results of this study can expectedly yield valuable inputs in crafting policy measures and mechanisms that spell out maximum effective use of MMC and technologies in certain tasks and situations at school.

## Method

The locus of the study was the UPN. Founded in 1978, it is one of the newest public universities in Mexico.

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<sup>1</sup> It is a university of education sciences in Mexico.

This research is an exploratory study. The analysis took two methodological dimensions: quantitative and qualitative. For the first dimension, I conducted a standardized survey with 150 students in their last semester to seek for socioeconomic characteristics, age, and gender, as well as to explore the habits and the frequency of the use of each medium. The questionnaire had 32 questions. The survey was pilot tested; ambiguous statements were reworded and irrelevant items were discarded.

The acquired information was processed statistically. It related the socioeconomic variables with the selection of media in order to identify if there were any relations.

For the qualitative dimension, 8 semi-structured, collective face-to-face interviews were held. All the interviews were tape-recorded and transcribed for analysis. In these interviews, the students referred to what they consume and what needs support their choices. The purpose of this study with students in their last semester was to identify if their studies at the university had influenced on their cultural consumption.

It was decided that they would be collective interviews so that the students could express themselves spontaneously and freely. This decision was based on the idea that the interviewed people could help each other to remember their use of media. It was accomplished in the interviews.

The collective interview also played an important role to establish confidence and an empathetic atmosphere among the students, which contributed to the descriptions of their media consumption and habits.

## **Theoretical background**

### **Theoretical framework**

One of the areas under discussion in research on communication in Latin America during the last two last decades is the role of cultural consumption and the cultural practices of different sectors of the population. Several studies in this region were made in the eighties. Only in recent years, these kinds of studies about cultural practices and consumptions in Mexico have begun to receive greater interest.

Some Mexican institutions that have promoted studies in this field are the Universidad Autónoma Metropolitana (UAM) (García Canclini and Piccini, 2002), the Universidad Latinoamericana (ULA) (Orozco and Charles, 2006), and the Centro Nacional para la Cultura y las Artes (CNCA, 2007).

In Mexico, the studies on cultural consumption are few. One study explores the approach of a group of secondary students to different mass media (Montoya and Rebeil, 2003). According to this research, the messages of media received by Mexicans occupy a considerable time of their daily life. Their contents have not just become "entertaining", "persuading" and "informing" to the receivers; it goes further than apparent neutrality. The contents of media are shaping people, their knowledge and their forms of understanding and experiencing their surroundings.

Another interesting study in this field is by Maya and Silva (1987). In this one, the real use of media by elementary students is analyzed. One of its more important conclusions emphasizes, "the great status that the television has gotten over other mass media." (1987:73). It also mentions that the printed media "occupies an inferior place in the daily life of children and young people." (1987:97) Also, Hernández (1994) reveals that the market of the cultural goods of media is the agency with which children and young people interact more by their own will.

Educational institutions often overlook effects of the media on their students' education. Diverse studies indicate that students acquire much knowledge outside of school. But although there is generally accepted practice, often it is not known what the students consume outside the classroom, the influence that this exerts on them, and therefore how this affects their development. The tendency that we observed is that the MMC are the agency with which young people interact most by their own free will. The previous knowledge of the students is essential to designing the curriculum, and we mostly use suitable educational strategies in accordance with their age, cognitive capacity and cultural baggage.

In the interest of contributing to knowledge in this field, this is an exploratory research about the consumption and extracurricular cultural practices of a group of university students.

## Conceptual framework

This study was based on the process of students' reception, taking into consideration what Thompson (2008:62-65) states regarding the "worldly character of the reception activity". He conceives reception as an active and much more creative process, where the individuals give meaning to what they receive from the media in accordance with their social baggage and circumstances.

Another perspective is "the uses and the allowances" (Rubin, 2003:556). This theory tried to explain how the students decide on cultural consumption in relation with what they consider to be significant to their convictions and interests. This is articulated by the ideas of Jacks and Orozco (2006). For them, the identity of the individuals with the MMC plays an important role between the persons and their surrounding reality, because it determines the form in which the individuals take control of mass media. Student contact with the media is considered to become a sort of education which competes with the education provided by the university. In fact, the media is one of the main channels through which present generations learn. The relationship between curricular and the extra-curricular activities is determined for each student, based on the knowledge they have accumulated during their lives. Students bring to the university different knowledge that comes from wide and diverse informal contexts. At their age, one of the most important cultural contexts is constituted by MMC.

Although other cultural contexts exist in which the students also learn, we consider that the relationship between the school cultural context and the extra educational context is solved in each student on the basis of all the knowledge in their personal background. This idea is significant to think about the role of the schools. In words of Vila (1997:178-179) "... boys and girls learn diverse things in their informal contexts or, in other words, 'carry' to school different belongings, which means that in school they should learn also different things, if we want that all of them develop similar capacities and, especially, they should learn from several ways because their informal experience also is different".

We can deduce that UPN students, as young adults, bring to the university different cultural capital that comes from their diverse informal contexts. At their age, one of the most important cultural contexts is constituted by the media.

The previous thought becomes more outstanding, when Gimeno (2008:83) analyses Spanish education. He indicates that one characteristic of the school learning is that it is dissociated from the experiential learning of the students. He also indicates that "the breach widens and worsens to the degree that cultural stimulation outside school is more and more extensive, attractive and penetrating" (Gimeno 2008:85). He adds that the media, especially television and video, are a resource of knowledge, a culture more effective and attractive than many school programs, books and teachers.

In the case of Mexico, in a study about adolescents, Hernandez (1994) upholds that the market of cultural goods of media is the agency with which the children and young people interact more by their own will.

The students are a basic component in many areas of the institution. In particular, the students' knowledge is essential for planning the curriculum and it is appropriate to select wide-ranging strategies of education according to their age, their cognitive capacity and their cultural baggage. At this time of their life, their cultural configuration is related to their extra scholastic cultural consumptions throughout the MMC.

The previous ideas are also articulated by Jacks and Orozco (2006). For them, the identity that the people have with the media plays a fundamental role between the individual and his/her surrounding reality, because it organizes the form in which students take control of mass media. What appears in the interviews are expressions of this individual cultural identity of the students. The information contained in the interviews with the developed concepts is the base of this analysis.

For the purposes of this paper, *cultural identity* is understood as the identity an individual derives by membership in one or several social groups, in this case the major corporations in mass media. This concept centers on the habits of exposure, on the practices and interactions users have with media. Here, the receptor's social context is considered central. (Jacks, 2006:173).

Insofar as *reception*, this study will make use of the concept formulated by Orozco (1996:175), which considers the receptor as an active, socioculturally-determined subject. According to Orozco, the receptor is capable of creating and negotiating the content of the messages emitted by

mass media, — unlike before, when the receptor was understood to be a passive consumer of mass cultural products.

## Results

### Main findings of the quantitative analysis

The results of this study give us a general view about the students' choice of MMC. With this, we hope to realize one of our purposes and to contribute to further research about this subject.

There is almost no variable relationship between media consumption and socioeconomic group. The relationship is only close in two cases: between the parents' wage and their cinema habits, and between the schooling of their parents and their reading habits.

Reading newspapers, books and magazines do not constitute a high-priority cultural consumption. According to the questionnaires, 73% of the students do not read the newspaper. 20% do it 2 or 3 times per week and only 7% read it 5 to 7 times per week. The most read section is the gossip columns. Sections such as editorials, national and international news articles, education and culture are read by around 10% of the students. Magazines are read by 34% of students and mainly for: fashion, beauty, gossip, sports, entertainment and the TV guide. Only 2% of the students read educational magazines. This illustrates that only a tiny percentage of college students is interested in looking for information that supports their professional development.

As for books, 64% of the students declared not to have read a single book during the current semester. Just 28% were reading literary books. No more than 8% read books with information that is related to their professional development. As a result, it is possible to think that the school processes do not seem to generate an active interest in reading books. I agree with Hernandez (1994:96), when he indicates that the culture of the written word has developed an inferior status in the scale of preferences.

Regarding radio, 77% of the students listen to it very frequently, mostly to music. Educational, cultural and political programs were only mentioned by 9%.

Regarding TV, the numbers indicate that, independently of the parents' schooling and the level of income, television has an outstanding and systematic appearance in the daily life of the students. 97% watch TV for around 4 hours a day from Monday through Friday and on the weekend exposure is more intense. Programs for amusement predominate and few students watch cultural or educational channels. We could suppose that university students have a guiding principle of viewing different to the general population, yet the cultural consumption of these students is not very different from other people. What is clear is that television continues being a predominant media.

In regards to the cinema, 53% of the students almost never go. Here there is a relation between socioeconomic variables and the tendency to go to the cinema. Those that attend the cinema normally have a high income. The genres that the students watch are: action, adventures, comedy and terror. The films that can be classified as art films are watched by just 8% of the students.

In relation to the use of information technologies such as Internet, 51% do not use it because they don't have a computer at home and those that do have one, use it simply to do homework and for entertainment.

We can conclude that the media is considered a practical activity that the students carry out as an integral part of their daily lives. The mass media has invaded daily lives to such an extent that it has become indispensable to our existence and occupies a predominant space. Of all the MMC, television has the greatest presence in students' life. Therefore we may conclude that university teaching competes with the MMC.

The analysis suggests that the UPN has a weak influence on modifying the cultural consumption of its students. Most of the cultural consumption of these students is very similar to those who do not attend university. Another important conclusion is that audio-visual media is predominant and seems to play a greater role than the printed media. The overwhelming weight of television stands out. We can further question that, if most of the curriculum subjects imply reading and the analysis of a wide bibliography, then why is there no continuity beyond the university? This study seems to suggest that teachers should include more audio-visual materials in the academic life of the university to make it more similar to life outside the university. Another fundamental conclusion of this study is the overwhelming predominance of entertainment. If the university

requires students to use their analytical capacities, why it does not transfer to student's life outside school. There is a strong tendency among students to allow themselves to be captivated by the trivial matters of the world of celebrity gossip and entertainment. This data was also explored in a qualitative dimension through group interviews where it was possible to see why the students select certain media.

### **Main findings of the qualitative analysis**

What appear in the interviews are expressions of this individual cultural student identity. Eight group interviews were carried out with 37 students, who were asked what they consume and why. Based on their responses, four analytical categories were constructed. The order goes from the greater to the lesser frequency: Entertainment and Recreation; Life Guidance; Being Informed; and Critical to the Media and its Products.

#### *- Entertainment and Recreation*

Entertainment was the most frequent reason given by students for why they use the media. Radio and television cover this function. But why is entertainment the primary concern? According to Rubin (2006:558), "the public takes the initiative to select and to use the communication vehicles in order to satisfy its necessities or desires".

Also Bryant and Zillman (1996:588) indicate that televising entertainment can be used as a regulator of excitement. According to these authors, entertainment can be calming, and this effect can benefit those who feel tense, dissatisfied, upset, angry, violent or otherwise disturbed. Satisfying this necessity is one of the reasons people choose entertainment of a calming nature. The selection of these entertainments seems evident; moderation of excitement is the fundamental component. The music listened to by students on the radio also would support this. Many of the students seek out television programs that help them to relax, such as soap operas. Programs that frequently attract students' attention are old cartoons "because they are amusing and contain no violence, like the '*Pink Panther*'", as several students report. As far as films are concerned, students prefer humorous films because they contain good clean humor. Two passages to illustrate:

Angélica: "...when I watch TV, I look for soap operas, because they make me feel relaxed and comfortable. I do not have to think too much"

Betty: I love to listen to the radio program "*The Hairy Hand*". Here they tell stories about exorcisms. Other times this program narrates about ghost, phantoms and terrifying tales ..."

Bryant and Zillman (1996) postulate that the greatest universal enjoyment among cultural consumption constitutes what they call *affective disposition*, especially when people are confronted with problems, conflicts and adverse situations. This function of entertainment frequently appears in the interviews. The main reference is television consumption. Students frequently referenced the soap operas.

However, literature consumption does not occupy a major space. Different factors contribute to this situation. Some students expressed their relation to reading with reference to the school practices of the university. They mentioned that they have to read many textbooks for their academic studies, and now they already feel tired and no longer have the desire to read. As one student remarked:

Luz Maria: "...What happens is that at the university, over the four years we have been reading a lot of textbooks, too much theory... we read and read... tons and tons of photocopies, now I don't feel like reading outside of school, it is too tedious"

A consideration by Sacristán (2008:85) is that, the disadvantage that school has in relation to television and video is that these forms of cultural stimulation are more attractive, sharper and lead us to a greater understanding than school does. Therefore, this research also looked into the tedium of reading indicated by some students. What appears is a deeper transformation of the cultural practices of young people. They tend to substitute reading with audio-visual forms. The exception was when the students look for great pleasure in reading literature. In these cases, the students said that this pleasure was formed prior to going to university.

As far as printed media, the diversity of literature consumptions ranges from horror stories to novels by Garcia Marquez, from poems to comics. In the interviews on this area, the variety of consumption was great.

To close this section, I want stress that entertainment has more weight over the others categories, and there is a wide heterogeneity in entertainment consumption.

#### - *Life Guidance*

Here the students made reference to the existence of messages that imply reflection, which are very predominant in their daily lives. Subjects like sexuality, couples, drugs and adolescence came up frequently among the students interviewed. The preference goes from soap operas to literature, from cinema to radio and some television programs of which the purpose is to provide life guidance.

The program that appeared with more frequency was "*Dialogues in Confidence*", which focuses on daily life. This program was mentioned by 25 of the 37 interviewed people and always with a positive evaluation.

Marcela: "...I love "*Dialogues in Confidence*". It is very good. There I can find what's going on with me.

Although the TV show's schedule is incompatible with their school schedule, some students try to catch the reruns even though they are at dawn or on the weekend.

One of the frequently reoccurring subjects in the interviews was sexuality. The mass media related to this subject was varied. In some cases they made reference to the reaffirmation of values or self-esteem. Two excerpts from the data are pertinent here

Meche: "Now I listen to one 1260 AM program because they come out with themes about sexuality, abuse, homosexuality, for adolescents like me. I like to listen to "*Voices of Privacy*". I like how she handles the topic of sex"

Patty: "Sometimes I read the magazine named "*To Undress*", because it talks about things that sometimes happen to me..."

Some other opinions were related to more worldly questions like personal care or home adjustment. In order to conclude this section I want to emphasize that *Life Guidance* was the second most frequently mentioned after entertainment. When a program touches the students more directly and personally, that program is viewed regularly.

Other themes that were mention included relationship with partners, adopted kids, old people, drugs, sex abuse, etc.

#### - *Being Informed*

I begin with a quote from Michel (2002:43): "At the present time, it almost seems to me a sacrilege not to read the newspaper in the mornings. I even have begun to think that I live by the information; that the news, gadgets or rumors also are food for me; something vital for my existence" If this author supposes that with this speech he rescues the practices of cultural consumption of most of people, the material from the students' interviews contradicts this idea.

The idea of being informed, for the students, was not relevant. They do not take an active interest in what is happening in the world. The newspaper, which is the most important media, is read almost daily by only 3 of the 37 interviewed students. The others students, if they read the newspaper, only glance at the celebrity gossip section.

One student commented: Alma: "Well... when I read, I read the funny things. I like the cartoons about what's going on at the present... but I really do not have time to read it"

For most of the students, if they want to know about what is happening in the news, they watch television because it provides easier access than the newspaper. However, being informed is not the priority for the majority of the students. Just one minority of them reads the newspaper habitually, and another small minority gets information through the television. The students interviewed point out some criteria of discrimination related to the type of news they prefer.

#### - *Critical to the Media and its Products*

This section talks about the criticisms students make about certain media. These criticisms are strong arguments for not consuming certain media and products. Most of these have a central

argument for the rejection of violence in the media, specifically on television. This was a forceful argument in the preference for old cartoons over current ones. The refutation of violence was an argument reiterated by the students interviewed. It also appeared in reference to the cinema. Another reason for rejecting certain media is the manipulation or distortion of information.

Rejection of the presentation of violence in the media was an argument reiterated made by the students interviewed. The criticisms were made to the full range of media and were often in reference to the cinema, as evidenced in the following interview excerpt:

Claudia: "I do not like films with violent topics like karate, martial arts, or cops and robbers".

Another one of the criticisms for rejecting certain media concerned that which the students consider to be manipulation or gross distortion of facts and information.

Alicia: "I don't like the television. They always present very trivial and unimportant things, very banal for my taste. The news items are very distorted; the programs that criticize the system also are very deceitful and fake for my taste".

Pedro. "... the news is really twisted, the information is distorted, but I like to make certain comparisons, so sometimes I listen to radio, to see if there is some relationship between the news on television with the news on radio..."

In some cases, the instances of intent to manipulate were accompanied with specific references.

Fernando: "I can see how the media manipulate and control us by regulating everything, like commercials, programs, as well as comic and stories; but everything is focused on promoting consumption. They don't see any human beings at all, just the mass consumption".

Many examples exist of how the reception is a process in which the consumers are not simple recipients of media. There is a process of active identification with media products. The criticisms are an exception which is made only by a minority of the interviewees. Although criticisms of the media and their products are not generalized among those interviewed, in those cases where they do they appear to imply forceful arguments to refuse certain media consumption.

## Conclusion

We can draw the conclusion that audiovisual media predominates in frequency and in proportion to its consumers: Television is the dominant mass media over reading and there is also a predominance of entertainment.

In view of this situation, the university seems to do very little concerning students' choices.

We may conclude that the education offered by the UPN does not modify its students' cultural consumption.

Such a result is unacceptable. We want all our students to be able to make better choices of content among mass media, and higher education should offer learning environments that promote cultural awareness.

A curricular proposal would be a transformation of the training programs, linking subjects and communication, emphasizing the conceptual analysis of the reception mediations, and involving the students in a critical reception of different media. Another implication would be to consider a horizontal unifying line to the entire curriculum.

This should be taken into consideration in fostering collective work among teachers of all subject areas and would mean teacher preparation and professional development. Teacher preparation will need to respond to the educational challenges and changes in society in the 21<sup>st</sup> century in order to prepare future students of the global community.

I want to add that, in our present world, the potential of multimedia technology is such that we can use a wide range of methods. Using modern technology will hopefully motivate students because they are already accustomed to it.

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## **A MAN AHEAD OF HIS TIME: HEZEKIAH WOODWARD. A CONSIDERATION OF THE SEVENTEENTH-CENTURY VISIONARY'S VIEWS ON TEACHING THE YOUNG IN ENGLAND**

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### **Abstract:**

As early as in the first half of the 17<sup>th</sup> century a steady outflow of critical views and advice about education was to be heard from English educationalists and would-be-reformers. One of the voices which particularly stood out was that of Hezekiah Woodward. An analysis of Woodward's ideas discussed in this paper, is preceded by a brief presentation of the state of schooling in the early Stuart age in order to determine whether or not the educationalist's views were in concert with the realities of those days.

Woodward, having become acquainted with *The Great Didactic* by Comenius, decided to rebel against the accepted practices in schools, and consequently chose to work out his own ideas.

This paper provides evidence that the educationalist's proposals aimed at reforming seventeenth-century education were well ahead of their time. He advocates a greater sense of responsibility on the part of the school and its masters, the parental duty to participate in moral and religious instruction and teaching through the senses; as well as a clearly-expressed belief that handicapped children are equally worthy of being educated. With this approach, Hezekiah Woodward made a name for himself. Though discarded at the time, his ideas became a basis for a modern viewpoint of contemporary education.

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**Key Words:** Hezekiah Woodward, elementary education in 17<sup>th</sup> –century England

### **Introduction:**

Early Stuart England had inherited a system of education based upon petty schools on the elementary level and grammar schools, in which admittance was dependent upon the ability to read and write. In these educational institutions the mediaeval curriculum still prevailed, though it would gradually witness adaptation by Puritanism as a means of religious study. In both the early Stuart age and the Commonwealth period, schools were to provide instruction mainly to children whose better-off parents viz. aristocrats, the greater gentry and merchants could afford to pay fees and other costs incurred whilst undergoing instruction. Thus it was generally assumed that education was beyond the reach of the majority of the populace.

Though petty and grammar schools were nominally free, almost all of them charged entrance and tuition fees, which were to cover the costs of a schoolroom, a master and an usher. In addition books, stationery and even fuel were to be provided by the pupils' parents. As for the contents of courses taught, Latin dominated the curriculum. Since it was the medium of instruction at universities, schoolboys had to learn to converse in this tongue, and for this purpose, standard dialogues in classical Latin were in use. The study of the Greek language focused on the construe of the New Testament, memorising nouns, verbs and long lists of Greek roots. Divinity had its place, although a secondary one, in the curriculum of the grammar school. Rhetoric was regarded as the crown of the course for older boys, but in fact it was grammar that was the chief study. Its primary object was to make Latin a live, spoken language. The justification for Latin being a top course in seventeenth-century instruction can be found in John Brinsley's *Ludus Literarius*, where amongst lengthy verses the author states: "To the end to fit them to answer any learned man in Latin or to dispute extempore;

also to train them up to be able to speak purely when they come to the Universities [...] or to fit them, if they shall go beyond the seas as Gentlemen who travel [...]?<sup>244</sup>

As a consequence of stressing the instruction of Latin in particular, but also Greek and Divinity, other courses were somewhat neglected, such as writing, geography, history, music and dancing, even arithmetic. The result was that boys were unable to find chapters and verses in the Bible and other books due to a lack of basic knowledge.

To picture English education at this time is to see not only the curriculum's contents and methods used to impart knowledge, but also the master's and usher's attitude towards those they were to teach. Amongst various sources dating from the 17<sup>th</sup> century, such descriptions are not unique:

Many a white and tender hand, which the fond mother had passionately kissed a thousand times, have I seen whipped until it was covered with blood; perhaps for smiling, or for going a yard and a half out of the gate, or for writing an O for an A, or an A for an O. These were great faults! Many a brave and noble spirit has been there broken, others have run from thence, and were never heard of afterwards<sup>245</sup>.

Rosemary O'Day argues that corporal punishment, which was commonly used in petty and grammar schools, contributed to a drop in enrolments.

Another reason for falling enrolments can be attributed to the parents' greed. This is how Thomas Morrice makes the point:

[Many engaged] some poore Batchelor of Arts from the Universities to teach their children [...] for ten pounds a yeare. Is it not commonly seene that most Gentlemen will give better wages and deal more bountifully with a fellow who can teach a Dogge or reclaim a Hawke [...]?<sup>246</sup>

Besides low wages offered to tutors, the parents themselves failed on the whole in reading to their children, talking to them, saying prayers together and teaching them from early childhood to differentiate between good and evil.

In the sixteen 30's and 40's a number of English educationalists and thinkers, being inspired by Comenius' views, began to identify all these faults within elementary and post-elementary instruction and call for an educational reform. One of the most distinguished and outstanding thinkers and critics of seventeenth-century schooling was a private schoolmaster – Hezekiah Woodward (1590-1675).

### Main Text:

After the results of his own experience in his childhood<sup>247</sup> and of his own observation drawn in his adulthood<sup>248</sup>, Hezekiah Woodward criticised the accepted practice of his day which emphasised mere learning by rote and neglected a child's comprehension. This is how, in his preface to *A Child's Patrimony*, Woodward put this across:

The understanding of a Childe is left to its owne information, and its memory is first dealt with and tasked, a burden though not so felt, yet a burden, and heavier than we would have to be imposed upon ourselves, for we will understand first, and then commit to Memorie, which is the order of Nature<sup>249</sup>.

For Woodward working upon a child's understanding was a key to success. The schoolmaster did not confine himself simply to a mere statement, but expanded on this point in depth and at length in his work *A Light to Grammar*. In this publication he first recognises and analyses the differences in children and only then does he proceed to show that the child's progress must be secured by engaging the use of the senses. What Woodward meant by that, he explains in the following words:

<sup>244</sup> John Brinsley, *Ludus Literarius or the Grammar School shewing how to proceede from the first entrance into learning, to the highest perfection*, (London: London Man, 1612), 211.

<sup>245</sup> Rosemary O'Day, *Education and Society 1500-1800*, (New York: Longman, 1982), 201.

<sup>246</sup> Thomas Morrice, *An apology for Schoolmasters*, (London: Bernard Alsop for Richard Flemming, 1619), 32.

<sup>247</sup> Hezekiah Woodward suffered from a speech defect which hindered his progress at school and therefore as a youth he thought that education was useless for him.

<sup>248</sup> He began his public career as a schoolmaster and ended it as a minister.

<sup>249</sup> Woodward, *A Childes Patrimony: laid out upon the good nurture, or tilling over the whole man [...]*. (London: I. Legatt, 1640), 8.

Our scope is to unfold the understanding, to set up a light there [...]. Our purpose is that he shall not stir one inch farther than he carries his Torch or Lanthorne in his hand, that thereby the understanding may doe its office. He shall do this worke playing, and play working; he shall seem idle and think he is in sport, when he is indeed serious and best employed. Precognition is an anticipation of the understanding, that is a stealing upon it, and catching of it, unfolding unto it, that the child knows not by that medium a meanes he knew before; or It is that whereby I slip into a child's understanding before he be aware; so as a child shall have done his task, before he shall suspect that any was imposed; this is done by Precognition<sup>250</sup>.

From the above text it becomes self-evident that Woodward firmly believed that the basis of all good education boiled down to the sharpening of the senses. From the educationalist's point of view a child must be directed to see not only with the eye but with the use of understanding. Therefore sense training – as the schoolmaster suggests – was the most proper method of instruction. In his perseverance upon instructing through the senses, Woodward was a declared follower of Comenius, whom he admired and looked up to. However, he went further than his mentor and devoted an entire chapter of his book to the employment of the child's senses in nature study. In it some interesting pronouncements upon the methods of giving instruction can be found such as:

We shall finde him still in action, here and there, and everywhere, with his sticke, or with his gun, or with his casting bones, perhaps if these be not at hand he is blowing up a feather; I cannot reckon up his Implements: I believe he is as well stored for the driving his pleasant trade as is the best Merchant in the Towne for his so gainfull; we suppose him well sorted with commodities, he hath his Exchange and Warehouses too, both his box and his pocket. And we shall see that by his dealings in the world hee hath learned good part of his Grammar (that dull booke, as it is taught) before he come at it [...]. But we must take things as they come and make use of them as we can<sup>251</sup>.

In the above and many other texts Woodward stresses and recommends that wise use should be made of all the child's active pursuits as vehicles of instruction.

In his works Woodward is not single-minded and obsessed with the term 'senses'. He belonged to a small coterie of native educationalists who believed also that the English language, at least in the early stages of schooling, should be the only medium of instruction<sup>252</sup>. Whilst Woodward regarded the use of the vernacular as important, he was not particularly Latin-orientated and in his opinion the initial stages of the teaching of Latin were to be based on sound psychological principles. By advocating the sense training aspect, in the employment of the mother tongue and by minimising the role of Latin courses in elementary schools, Woodward comes across as an unrecognised pioneer of such ideas in elementary education.

The educationalist's vision of reform was not only narrowed down to methods of instruction and a role of the English language; in his proposed changes he favoured an introduction of exact science into the curricula, this he believed, would "enfranchise the understanding and make the child a free denizen of the world"<sup>253</sup>. Albeit this viewpoint was shared by another would-be-reformer – John Dury, Woodward was alone in his pronouncements that teaching geography should be carried out with the employment of maps, pictures and globes<sup>254</sup>.

Woodward displayed an awareness of the exceptionally high sense of duty and responsibility required of the schoolmaster, not only with regards to the kind of modules taught and methods of instructions utilised, but also to the religious and moral up-bringing of children. Such an approach the educationalist put across in the following justification:

We have filled our children's bones with sin. It is our engagement to do all we can to root that sin out, which we have been a means to root so fast in. [...]. We see what an engagement it is, the greatest and strongest that can be thought of<sup>255</sup>.

It is implicit from the above, that Hezekiah Woodward's opinion, consciously or not, gave rise to a series of works published on the subject of the inculcation of manners and morals within a

<sup>250</sup> Woodward, *A Light to Grammar and all other arts and sciences*, (London: Printed by M. F. for Bartlet, 1641), 15, 19-21.

<sup>251</sup> Ibidem, 24, 26-27.

<sup>252</sup> Ibidem, 45.

<sup>253</sup> Ibidem, 16.

<sup>254</sup> Woodward, *A gate to sciences*, (London: Printed at London for John Bartlet, 1641), passim.

<sup>255</sup> Woodward, *A Childes Patrimony* [...], 9-15.

young generation by other would-be-reformers in the 1640's. Amongst the books which discussed these issues there were for example *Youths behaviour: or decency in conversation* translated by Francis Hawkins and *The Right Teaching of Useful Knowledge* by George Snell<sup>256</sup>.

Woodward in his works busied himself not only with these problems. In his works the author wanted to come across not so much as a critic and reformer but rather as a councillor, who with the experience he had accumulated, wished to share it with other schoolmasters, teachers and parents. All these people—the educationalist pointed out—bore the same responsibility in the child's up-bringing and instruction and he appealed to them in the following words:

When I think again what a treasure a childe is, and what a charge comes along with it; and then again what a faire opportunity the master hath in this little nurserie or seminary to prune and manure this little plant so as it may grow fruitfull that the Church and State and Parents, that all may rejoice together; when I consider the opportunity the master hath, even to his hearts desire [...] I shrink at the thought of this charge<sup>257</sup>.

Woodward's concern for the child's well-being did not take the form of scathing criticism, but a set of guidelines and tips for other schoolmasters to follow. He was convinced that school principals must first have high expectations of themselves before they could demand such of others:

The Master hath still somethinge to doe, either about himselfe or the childe, and when he cannot make the childe better with all his care, then his care must be to make himself better, then there is no lost labour<sup>258</sup>.

Next, Woodward chose to find fault with the part fear played in the schools of that era, illustrating carefully from his own experience and concluding with the careful differentiation between fright and the important respect of a schoolchild for his teacher; this being vital in school work. Confirmation of the above can be found in the following words:

A master must maintaine an awfullnesse in the child, else little will be done; and he must be as carefull to suppressse fear and the working of it, specially then when he would give instruction, else no good will be done. [...]. If the Childe deserves to be smart, let it smart afterwards when the lesson is done<sup>259</sup>.

No less does the would-be-reformer expect from teachers, whom he does not reprimand but as a colleague offers his advice:

The Master must have patience for all that: he must compose himself to goe as slowly as the child's conceit requires; the master wisdome is to stoope to the childe, to see where he stickes. His pen is but a dead thing; the Master must put life into it; he must so speak that the childe must see him speak, he must heare with the eye, and learne to speak by his fingers<sup>260</sup>.

With an equally interesting insight, the educationalist presented his views upon the early training of children and the parents' role therein. Woodward delved into the nature of an infant, pointing out that a crucial role was to be played by the child's parents at this stage; their obligation should be to care for the child's soul as well as his body and intellect. Woodward's observations read as follows:

Assuredly it is the cause of much mischiefe and sorrow in the world, that the parents think themselves discharged of their duty towards their child, when they have charged the School with it [...]. The mother thinks that the school must look to the washing her child's hands, putting on the girdle, its attendance at the table, and his manners there, and if there be any other faults, as there will be many, then we know, who shall heare of them all, and we know as well, that none will be mended, when there is no better care at home [...]. The mother is resolved to go to the Master or Mistresse [...]. When she has done this, she thinks she has done her duty<sup>261</sup>.

Instead the author reminded the parents of their sacred duty, which was to set an example themselves and ensure that their off-spring copied it. In his deliberations Woodward emphasises that

<sup>256</sup> Francis Hawkins, *Youths behaviour: or decency in conversation*, (London: Printed by W. Wilson for W. Lee, 1646).

G. Snell, *The Right Teaching of Useful Knowledge*. (London: W. Dugard, 1649).

<sup>257</sup> Woodward, *A Childes Patrimony* [...], 159.

<sup>258</sup> Woodward, *A Light to Grammar and all other arts and sciences*, 149-152.

<sup>259</sup> Woodward, *A Childes Patrimony* [...] 9-10.

<sup>260</sup> Woodward, *A Light to Grammar and all other arts and sciences*, 83-84.

<sup>261</sup> Woodward, *A Childes Patrimony* [...], 11-12.

the parents' behaviour must be—as the would-be-reformer put it—“the child's book, from which he learns to speak and hear”<sup>262</sup>. From the schoolmaster's point of view, the core of the parents' obligation during infancy and early childhood lay in preventing evil and increasing goodness.

Nor should it be assumed that the parents' role ceased when the child reached school age. For Woodward it was of prime importance that the parents' co-operation and care still continued. In fact, in the guidelines addressed to parents, the author claimed that the parents' supervision ended only when the child had become an adult and “when the days of schooling are about to close, it is the parents' duty to give anxious and careful thought to the choice of a calling for the childe”<sup>263</sup>.

### Conclusion:

In the early 1640's certain revolutionary ideas concerning the reform of education were put forward by a number of would-be-reformers, but Hezekiah Woodward's radical views were the most prominent. Inspired by the ideas of Comenius and supported by the work of other native educationalists, it seemed to Woodward that in the times of expectations and hope which had been aroused by the summoning of the Short and then the Long Parliaments, his ideas could contribute greatly to a radical reform of education in England.

Woodward's works revealed to his contemporaries new concepts that were based on the nature and needs of the child and encouraged the greater use of the vernacular and the employment of teaching aids. Nor did Woodward overlook the importance of morals and manners that he felt should be instilled in the minds of those undergoing both elementary and post-elementary instruction. Similarly, the educationalist recognised the role of teachers and parents in the process of educating the young and he defined the responsibilities and duties of men who, like himself, were heads of schools.

Interesting and modern—even from the present perspective—as Woodward's suggested fresh approaches were, they were so far ahead of the current thinking, that clearly such deep changes as he proposed could not occur ‘overnight’.

A child's understanding, which the would-be-reformer emphasised as essential, would have had to be first understood and accepted by teachers and parents alike. It is mainly due to this lack of understanding on the part of adults that his suggestions remained in idea form only. The recommendations laid out by Woodward in the seventeenth century were, however, of great value two to three centuries later when they were the bases for subsequent educational reforms.

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<sup>262</sup> Ibidem, 12.

<sup>263</sup> Ibidem, 179-181.

## **SOURCES OF WORKPLACE STRESSORS AMONG UNIVERSITY LECTURERS IN SOUTH WEST NIGERIA: IMPLICATION FOR COUNSELLING**

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### **Abstract:**

This work investigated the sources of stress among University Lecturers. The population for the study was all academic staff in Nigerian Universities. The 364 subjects who were made up of 223 males and 141 females were drawn from eight (8) Nigerian Universities. One research question and one hypothesis were raised to guide the study. The ex-post-facto research design was employed. A self Report Perceived Stress Assessment Questionnaire (SRPSAQ) constructed by the researcher was used to elicit information from the participant. The instrument had two (2) sections. Section A and B. Section A elicited information on bio-data and section B elicited information on degree of stress inducing factors by choosing “strongly agree” (4) ‘Agree” (3) :Disagree” (2) Strongly “disagree” (1). The face and content validities were ensured while a test-re-test reliability coefficient of 0.86 was obtained. The data collected were analysed using descriptive statistics (frequency, percentage, mean and standard deviation and inferential statistics (t-test). Result revealed that the level of perceived stress among male and female lecturers was not significantly different. Also, further finding revealed that lecturers experience stress. Sources of most stress include: Poor research incentives (87.35%), poor condition of lecturers offices (81.32%) lack of facilities (78.10%) and students project supervision (77.52%). The findings were discussed and counseling strategies offered.

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**Key Words:** Stress, Lectures, Counselling implication

### **Introduction**

Stress is defined as an organisms total response to environmental demands and pressure. Stress is a necessary and unavoidable concomitant of daily living necessary because without some stress we would be listless and apathetic creatures, and unavoidable because it relates to any external event, be it pleasurable or anxiety producing. A person’s response towards stress depends on whether an event is appraised as a challenge or a threat (Lazarus & Folkman, 1984). Challenging stimulus can lead to positive outcomes such as motivation and improved task performance while threatening ones or distress can result in anxiety, depression, social dysfunction and even suicidal intention.

Along with the improvements during the scientific era and the rapid development of information, competitiveness among people has become increasingly intense, as a result people have become busier and therefore, stress is a natural consequence. Even though appropriate stress is a juncture for self-growth, it is also a motivation for people to progress actively. It not only affects our thoughts and feelings but our behavioural models, as well. However, overstress causes problems and discomfort, and can have serious effects on people.

The rate at which universities are established in Nigeria by not only the Federal and State governments but also by individuals and religious bodies is a totally welcome development which informs of the acceptance of education as the essential thrust for individual and national development. This nevertheless, has led each university into setting new goal in a bid to defend its existence as capable of having both competent staff and equally capable of producing the much needed professional manpower required by the nation. These then have placed great challenges on the academic staff which may likely cause stress especially if they are dissatisfied in the course of carrying out their duties.

Although a high level of stress has been observed in teachers generally, the higher education sector is a relatively new focus of concern. There is strong evidence to believe its workforce could represent a particularly vulnerable occupation group.

Most of what is known about stress amongst university workers is derived from several studies conducted in the USA. In Mitchell & Blix reported that 66 per cent of a large sample of university lecturers perceived severe levels of stress at work at least 50 per cent of the time. These authors concluded that most of the stress experienced by the respondents related directly to limited resources or shortage of time. There were, however, other causes for concern within the profession these ; included slow progress in career advancement, poor faculty communication, professional; disillusionment and inadequate salaries. Additional sources of academic pressure identified in the literature include heavy workload, role ambiguity, conflicting job demands, frequent interruptions, and striving for publication (Goldenburg & Waddell,2000). Further studies have concluded that a significant proportion of stress experienced by academics is likely to emanate from the competing demands of career and family life, and long working hours (both on and off campus) (Sprcinelli & Gregory,2007).

The negative effects of academic stress on psychological well-being have also been widely reported. For example, Blix and Mitchell (2004) stated that almost half of their respondents (48 per cent ) reported psychological health problems resulting from work stress and that 84 per cent considered that their productivity and performance had been negatively affected. These authors cited depression and anxiety as the most critical stress-related symptoms reported.

Few large-scale investigations of workplace stress amongst university workers have been carried out in Britain. Most of what is known about the causes and consequences of stress for this occupational group is based on the results of surveys of staff from single institutions. Such literature as is available strongly suggests that occupational stress and job dissatisfaction are common features of academic life in Britain.

A large – scale investigation into attitudes to work conducted by Anthony in 2006 concluded that university staff were considerably more demoralized than members of the 20 other occupational groups investigated. Academics indicated that they felt less valued by their employers and reported lower levels of satisfaction and job security than other groups. Over 50 per cent of the university workers surveyed reported that their jobs stressed them all or most of the time. Unsatisfactory management practices were cited as the most significant cause of work-related stress: 58 per cent of respondents from academic backgrounds blamed management for their stress, compared with an average of 47 per cent for the sample as a whole. One in five admitted that they thought about leaving academia on a daily basis; an additional 20 per cent indicated that they had similar thoughts about once a week. Lower levels of psychological well-being than the norm were also evidenced: one – third of academics surveyed reported having felt depressed or very unhappy over the previous two weeks.

Nigeria as a developing country is evidently full of life threatening, harmful and chattering situations, which are stressful to peoples' existence and well-being, some of these include economic recession and instability, driving on very poorly maintained roads and highways, religious intolerance and insecurity, the menace of armed robbery and political tuggery. The University lecturers as citizens of the country experience all these phenomena along the professional and personal concerns related to their jobs. These concerns include lack of basic facilities for teaching, learning and research.

The entire Nigerian University communities have not been immuned from the emerging forces of stress in the country. Despite the nation's declaration of the importance of University education in national technological developments and the role it plays in satisfying manpower needs, there seems to be growing evidence that there are really no private, states or federal owned universities that will genuinely claim to enjoy the basic facilities and resources.

University teaching has traditionally been regarded as a low stress occupation. Although not highly paid, academics have been envied because they enjoyed tenure, light work load, flexibility, 'perk' such as overseas trips for study and/or conference purposes and the freedom to pursue their own research interests. During the past fifteen to twenty years many of these advantages seems to have been eroded in Nigerian Universities. Academic salaries have fallen in real terms in relation to current economic crises. Increasing numbers of academic positions are now untenured; work loads

have increased; and academics are under increased pressures to attract external funds for their research and to either 'publish or perish'. These could expose lecturers to such levels of stress that could force them to deviate from normal functioning.

### **Statement of the problem**

The tertiary education system in Nigeria seems to be going through series of challenges. Probably the most challenge most ignored and least addressed is the problem of funding and financing tertiary education which has generated much stress among the university lecturers.

The UN agency recommended as high as 26% of Gross Domestic Product (GDP) to be devoted in the budget to education sector (Emezue, 2009) but the Federal Government in Nigeria seems to have been spending less than 7% of the Nations GDP on education.

Today, no Nigerian University ranks among the first 7,000 in the world. According to the Daily Trust editorial of March 19, 2009, "The recent ranking of World University by wobometrics rated Obafemi Awolowo University as 68<sup>th</sup> in Africa and 7.703<sup>rd</sup> in the world, with University of Ibadan coming 85<sup>th</sup> in Africa and 8, 619<sup>th</sup> in the world".

Learning environment in Nigerian Universities is seriously compromised by over-congested classrooms, over crowded laboratories, where the taps have no water and there is most of the time, no electricity to run the equipment. Laboratory reagents seem to cost too much for the school budget. Each year, thousands of students wear hood on graduation day, with not enough to take to the world. Research work has declined abysmally because of economic hard times.

Lecturers in Nigeria Universities are expected to perform at high level in the area of curriculum without the basic facilities for teaching, learning and research. Though the expectation is commendable, it is not always possible for lecturers to competently manage the diverse needs of students with the resource disabilities presently on ground in Nigerian Universities without stress. This situation needs to be addressed if Nigerian will advance technologically in this millennium and attain her vision 20:20:20.

### **Purpose of the study**

The purpose of this research work is to contribute to knowledge and provided empirical evidence on the sources of stressors among University lecturers in Nigeria.

### **Research Question and Hypothesis**

To guide the thrust of the study the following Research question and hypothesis were formulated. The hypothesis was tested at 0.05 level of significance.

- (1) What are the sources of stress among Nigeria University Lecturers?
- (2) The perceived level of stress among male and female lecturers will not be significant different.

### **Methodology**

The Research design employed in this study was the ex-post-facto. The research was conducted after the variations in the independent variables have occurred in the natural courses of events. The design involved a large number of persons and describes population characteristics by the selection of an unbiased sample.

The population for this study was all Nigerian University lecturers

The stratified randomly sampling technique was used to select the sample for this study

Eight Universities on the whole were used for the study. These consisted of Three (3) Federal Universities, Three (3) State Universities and Two (2) Private Universities. A total of three hundred and sixty-four (364) subjects consisting of 233 male and 141 female lecturers were used as sample for the study.

The stratified random sampling method was adopted in selecting the subjects variables under study. The numbers of subjects were selected according to the population of lecturers in the various universities sampled.

A self constructed questionnaire titled self-Report perceived stress Assessment Questionnaire (SRP SAQ) was used to elicit information from the respondents.

The instruments consist of 2 sections A and B.

Section A consist of 10 items requiring information about the lecturers sex, marital status, years of experience.

Section B consist of 30 items on various stress inducing factors to which the lecturers were required to indicate by a tick the degree to which these factors induce stress in them. They were requested to 'Strongly Agree', 'Agree' 'Disagree' or 'Strongly Disagree' with the items. The responses were scored: Strongly Agree – 4, Agree – 3, Disagree – 2 and Strongly Disagree – 1.

The initial items generated were scrutinized by experts in counseling psychology who made their contributions. The final copy of the items was agreed to have content validity.

The questionnaire was pilot tested by a test-re-rest method using 40 lecturers from one of the state universities who were not part of the sample. A reliability coefficient of 0.86 was obtained.

The researcher visited the different universities and was assisted by one assistant (lecturer) from each of the universities sampled. The questionnaires were handed over to these lecturers who helped to administer them in their own universities.

The questionnaires were collected by these lecturers and mailed back to the researcher. Four hundred questionnaires were administered on the subjects. The exercise lasted for about nine weeks. At the end of the exercise, 364 questionnaires were returned giving a rate of 91%.

The responses were analysed using percentages standard deviation and t-test.

H<sub>0</sub>The perceived level of stress among male and female lecturers will not be significantly different.

**Table I**

T-table of perceived level of stress among male and female Nigerian lecturers.

Variables	N	Mean	Std. Dev.	Df	t-cal	t-table	Remarks
Sex							
Male	223	98.23	12.56	357	0.426	1.645	Not Sig
Female	141	100.34	71.35	357	0.426	1.645	Not Sig

Table I reveals that the calculated t-value ( $t = 0.426$ ) is lower than the t-table value ( $t=1.645$ ). At  $p < .05$  level of significance the perceived level of stress among male and female lecturers is not significantly different, though the calculated means for male (98.23) and female lecturers (100.34) shows a slightly higher perceived stress among female.

The hypothesis which states that the perceived level of stress among male and female lecturers will not be significantly different is retained.

The slightly higher perceived stress among female lecturers may be due to combining the home chores with the lecturing job.

**Table II**

**Perceived Sources Of Stress Among University Lecturers**

Variable Stress Factors	Mean	Max	%
Lack of instructional facilities	54.15	68	66.40
Lack of facilities for research	13.02	20	78.10
Lack of Holiday /annual leave	17.09	28.0	61.0
Time pressure and deadlines	15.96	22.0	57.00
Multiple role demand	9.29	16.00	51.00
Role ambiguity	6.20	17.45	38.20
Preparation of Examination results	7.56	18.20	52.34
Invigilations of Examination	8.62	18.00	54.52
State of lecturers office accommodation	62.15	68.00	81.32
Students continuous assessments	14.43	22.50	58.10
Grading and marking of papers	15.68	21.20	54.32

Students population	14.00	21.20	59.50
Leadership behavior of University Lecturers	13.00	22.00	53.02
Students projects/thesis supervision	17.08	30.00	77.52
Poor research/conference incentives	64.12	71.28	87.35
Lecture note preparation	12.55	20.00	52.21
Student classroom behavior	13.62	21.31	50.23
Criteria used for promotion	14.72	23.40	53.15
Administrative behavior of Non –academic staff	14.30	16.21	42.35
Delivery of lectures	16.43	20.40	45.60
Delays in release of promotion and entitlement	17.63	23.50	43.72
Setting examination questions	18.20	24.62	53.45
Participation in institutional administration	19.50	21.26	51.42
Relationship with students	20.62	24.50	44.62
Relationship with colleagues	17.82	28.00	33.50
Delay in payment of salaries	16.96	22.15	61.00
Participation in extra teaching to generate more generating money for self and the University	15.00	22.10	52.00
Normal teaching workload	24.54	28.02	57.00
School calendar interruption	9.28	17.00	58.62
Management unwillingness to meet lecturers demands	15.64	28.00	63.00
Stress	64.56	75.62	89.90

A look at table II indicate that academic experience the most stress from poor conferences/Research incentives (87.35% ( followed by the state of lecturers office accommodation (81.32% (. Next to this is the lack of facilities for research (78.10%), closely followed by students project thesis supervision (77.52) while the least is relationship with fellow colleagues (33.50%). The table also show that (89.90%) of the sampled lecturers are wider stress.

Academic staff indicated stress from the university management (63.00%). The key to stress from university management could be viewed from the inter-face between the expectation has often resulted in strikes owing to delay and irregular payment of salary, poor work environment, lack of feedback and social supports as highlighted by Ofoegbu (2006).

The head of departments are middle managers when pressured by the higher management tend to transfer this pressure to academic staff who report directly to them. The performance pressure put on academic staff by the heads often results in stress as shown in this study. In line with this view, Ahsan, (2009), identified stress inducing factors on academic staff to include performance pressure. With regards to interpersonal relationship between academic staff and colleagues, the stress was quite minimal (33.2%) which is very acceptable, in any normal human relation.

Research being one of the primary activities of an academic staff in any university demands time, energy and finance. In this study, the major stress source to academic staff with respect to research is sourcing for research funds/grants (87.2%). Inadequate funding is a general problem in Nigerian university system, it therefore follows that research are scarce and very few access to it where available. Findings by Rutter, (2002), showed that sources of stress to academic staff included the pressure to secure financial support for research.

## Discussion

The study was carried out to determine the sources of stress among Nigerian university lecturers.

The findings of research showed that the level of stress among male and female lecturers in Nigerian universities is significantly high (means = 98.23 and 100.34 respectively). This situation of stress among Nigerian lecturers supports the findings of Jarret (2007) who found that psychological strain was higher in academic staff than general staff. Blix & Mitchell (2004), Wiley (2005) and Jarvis (2002) also asserted that teachers experiences significant amount of stress in the course of performing their duties.

Nigerian lecturers are highly stressed when comparing the work environment of Nigerian University academic with elsewhere lecturers in Nigeria seem to be working in the old 'sugar cane plantains' during the slave trade era. Inadequate and deteriorating infrastructure and facilities which drastically limit the carrying capacity and increased enrolment of student which is the order of the day have made work very stressful for the lecturers. Government has been comfortable making meager salary increase to avert lecturers strikes without commensurate funding of infrastructure and facilities.

Students in most cases no longer carry out individual laboratory experiments rather they do group work due to dearth of reagents. In some cases, due to large number of students and the emptiness of laboratories, they are made to do "alternative" to practical works which is inadequate for this technological age.

In terms of take home pay Nigerian lecturers seem to earn grossly less than their counterparts in even other African countries. There is always constant stressful agitations for better conditions of service which usually end up in strikes. When universities reopen after strike, another set of problem emerge; either the semester is extended to make up for the lost ground or the semester is shortened and rush through. Quite often, students opt for the latter. But if the former was opted for the stress of poor attendance in class and restlessness on the part of the students is also experienced by the lecturers. In all this, the quality of academic work would be adversely affected and the credibility of the degrees to be ultimately awarded would be brought to question. Added to this is the stress of coping with the inevitable examination malpractice which would escalate devastating.

### **Counseling Implication**

Stress in human results from inter actions between persons and their environment that are perceived as straining or exceeding their adaptive capacities and threatening their well-being.

Many researchers (Ross, 2003 and Goodman 2005) have observed that an emotionally disturbing situation triggers changes in the bio chemical and endocrinological systems of the body leading to the appearance of psychosomatic illnesses such as hypertension, indigestion, anxiety, depression stomach ulcers e.t.c. However, coping with the stress inducing factors that are beyond ones control is generally agreed to be possible through adequate counselling in other live a meaningful and productive life.

The lecturers seems to be helpless over the stressors they face on the campuses, therefore, it is counseled that adequate coping strategies need to be put in place in order for them to survive physically and emotionally as individuals. According to Lazarus (1975) the capacity of any situation to produce stress in an individual depends on the perception of such individual. He observed that stress reactions follows only when an individual "appraises" his current situation as stressful.

It is therefore counseled that lecturers adopt a cognitive redefinition coping strategy to survive these situations beyond their control. This a strategy by which an individual accepts the reality of the situation, but, restructure his mind toward it to find something favourable. Such strategies involve reminding oneself, that things could be worse, thinking oneself as well off with respect to other people concentrating on something good that might develop from the situation and altering values and priorities. Lecturers are also counseled to avoid emotion focused coping behavior which includes: verbal expression to let off steam especially with students, crying, smoking, overeating and engaging in impulse acting out as these may lead to more harmful psychosomatic illnesses.

Shapiro (1983) posits a need for control as a fundamental human drive. Hence individuals attempt to maintain a sense of control whether over life in general or over the outcome of specific situations. Lecturers are counseled to maintain control over their internal environment (their mind set) rather than trying to have control over their external environment (the campus situations). In cases where the lecturers have began to have symptom of psychosomatic illness as a result of stress, it is counselled that a visit to either a counselor or physician may be of help.

When the counsellor /doctor suspects that a patient's illness is connected to stress, he or she will take a careful history that includes stressors in the patient's life (family or employment problems, other illnesses, etc.). Many counsellor/ physicians will evaluate the patient's personality as well, in order to assess his or her coping resources and emotional response patterns. There are a

number of personality inventories and psychological tests that counselors can use to help diagnose the amount of stress that the patient experience and the coping strategies that he or she uses to deal with them. A variation on this theme is to identify what the patient perceives as threatening as well as stressful. Stress – related illness can be diagnosed by counselor who can refer to the primary care doctors, as well as well as to those who specialize in psychiatry. The doctor will need to distinguish between adjustment disorders and anxiety or mood disorders, and between psychiatric disorders and physical illnesses (e.g., thyroid activity) that also have psychological side effects.

Recent advances in the understanding of the many complex connections between the human mind and body have produced a variety of mainstream approach to stress-related illness. Present treatment regimes advocated by counselors may include the following.

- Medications. These may include drugs to control blood pressure or other physical symptoms of stress, as well as drugs that affect the patient's mood (tranquilizers or antidepressants).
- Stress management programs. These may be either individual or group treatments, and usually involve analysis of the stressors in the patient's life. They often focus on job or workplace-related stress.
- Behavioral approaches. These strategies include relaxation techniques, breathing exercises, and physical exercise programs including walking.
- Massage. Therapeutic massage relieves stress by relaxing the large groups of muscles in the back, neck, arms, and legs.
- Meditation and associated spiritual or religious practices. Recent studies have found positive correlations between these practices and stress hardiness (Wiley, 2005).

Treatment of stress is one area in which the boundaries between traditional and alternative therapies have changed in recent years, in part because some forms of physical exercise (voga, tai chi, aikido) that were once associated with the counterculture have become widely accepted as useful parts of mainstream stress reduction programs. Other alternatives therapies for stress that are occasionally recommended by mainstream medicine include aromatherapy, dance therapy, biofeedback, nutrition-based treatment (including dietary guidelines and nutritional supplements, acupuncture, homeopathy, and herbal medicine.

Complete prevention of stress on the campuses are neither possible nor desirable, because stress is an important stimulus of human growth and creativity, as well as an inevitable part of life. A persons ability to remain healthy in stressful situations require the development of stress hardiness – a cluster of personality traits that strengthen the individual's ability to cope. These may mean that lecturers need to develop such traits as viewing life situations and changes as positive opportunities rather than threats.

Universities among other things, provide the highest training grounds for the requisite human capital for national development. If Nigeria is to achieve her developmental goals therefore, she needs to adopt practices that may help to alleviate stress among university lecturers. It is counseled that the University executive should ensure that lecturers go on annual leave as at when due instead of engaging them in extra part time teaching programme to generate funds for the institution. Recreation facilities and social support packages should be boosted up in the university environment.

The Government on their part should look into the inadequate and deteriorating infrastructures. The collapsed municipal services (water, sewage, electric power and waste disposal etc.) should be addressed with all urgency.

Functional, well equipped counseling centres should be established in all Nigerian Universities. Here, competent counselors can offer professional services

## **Conclusion**

The study has been able to identify several sources of stressors in Nigerian Campuses. These stress inducing factors precipitate stress in the lecturers in various degrees. It can be concluded that, should these stressors remain unattended to, the level of perceived stress among university lecturers will remain a permanent feature. This may be very detrimental not only to the individual lecturers but to the nation in general.

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# QUALITY ASSURANCE AND ACCREDITATION REQUIREMENTS OF THE COLLEGE OF SCIENCE AND ARTS IN YANBU' IN LIGHT OF THE STANDARDS OF THE NATIONAL COMMISSION FOR ACADEMIC ACCREDITATION AND ASSESSMENT

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## Abstract:

This research aimed to explore the requirements of implementing quality assurance and accreditation requirements of the College of Science and Arts in Yanbu' in light of the standards of the National Commission for Academic Accreditation and Assessment. The research tool was a questionnaire composed of three aspects:

One: Achieving the quality assurance requirements in line with some fields.

Two: Teachers' awareness of the culture of quality.

Three: Difficulties and requirements of achieving quality.

It also includes individual interviewing of the sample members, where the research tool was applied to the college teachers. Moreover, the researchers used the descriptive methodology to identify the reality of quality and accreditation at the college using the statistic analysis pack to draw conclusions. The findings unveiled that there are some difficulties that obstruct the achievement of quality and academic accreditation in the College of Science and Arts in Yanbu', the most paramount of which is understanding the vision and mission of the college and the need of faculty members for culture in the field of quality and academic accreditation. This is in addition to the tools, devices and learning resources which require to be supported to actualize quality requirements. In light of these findings, the two researchers have given a proposed perception for achieving quality and accreditation in the college in addition to the implementation mechanism that guarantees the success of whatever is given through the proposed perception.

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**Key Words:** Quality, Accreditation Requirements, Academic Accreditation, Assessment

## Introduction:

It is globally long-established that university is a community foundation that bears command and leadership responsibility. As it holds knowledge and intellect it has been established by the community to bear this responsibility. Hence, it is demanded to give effective training to the citizen now and in the future.

It is stated that there are several challenges that face educational systems in the present age, compelling many countries of the world to respond to the need to improve the quality of education. Many world conferences have stressed that the major challenge of educational systems in the 21<sup>st</sup> century is not only confined to providing education for all individuals but that education must be provided with the highest level of quality and that the existence and continuance of any educational institution basically depends on competition and attraction of beneficiaries through the provision of services with comprehensive quality.

The rapid developments going on in the world which have obligated all countries of the world to become involved in competition at local, regional and global levels and called them to operate based on standard, have given rise to comprehensive quality wherein many countries are paying attention to it and working towards implementing it in several fields.

Based on that, many universities of the world have adopted the system of quality and academic accreditation, created quality assurance mechanisms to develop and improve all

perspectives of university education, overcome its problems and achieve the satisfaction of beneficiaries of their services. Furthermore, several international conferences have been conducted on this issue and numerous Arab countries have paid attention to the implementation of quality and accreditation in their universities. This is portrayed clearly in the holding of many symposia and conferences in Arabian universities. The UNESCO regional office, in response to the Doha Declaration in the Conference of Ministers of Education on the quality of education, which was held in Doha in September 2010, has taken the educational initiative encouraging Arab countries on the importance of quality control in education and emphasizing the abject need to assess and review educational outcomes, create an Arabian control commission and a regional research program specialized in the quality of education.

It is noteworthy that the Kingdom of Saudi Arabia is not negligent of the global attention being paid to quality university education. The Ministry of Higher education has launched a global leadership program in Saudi universities as one of the developmental projects of quality in the institutions of higher learning in the Kingdom. This program, known as the “global leadership program”, is meant to improve performance standard in the institutions of higher learning in the Kingdom. Universities have taken advantage of this program through the establishment of a special unit for leadership and excellence culture dissemination and the propagation of the standards and indicators of global classifications to universities and making effort to analyze the environment using SWOT analysis to determine the strengths, weaknesses, opportunities and threats in order to formulate a perception for improvement and development.

Accreditation is considered one of the terms that have emerged recently as a strategy for quality assurance in education. It aims to achieve the recognition of the intellectual level of an educational institution and its outputs. Accreditation materialized in the United States of America based on the concept that it is the community’s right to ensure that its institutions are properly performing the roles for which they were established. Hence, it was defined as “an evaluative process that an external institution does to educational institutions and programs in order to help them achieve quality and recognition”.

Accreditation aims to verify the intellectual and educational level of the institution and persuade it to carry out self-evaluation of its educational programs. It also encourages competition among various educational institutions to ensure that an institution has achieved the least level of the necessary requirements of producing quality graduates and fills the community with confidence about its efficiency. The significance of accreditation is based on the fact that it creates confidence, grants global recognition and curtails the risks of not meeting the community needs and confidence in the educational institution by striving to prove its efficiency according to a set of standards in form of resources, field experience, faculty members, diversification, assessment and actual learning outcomes.

Based on the previously mentioned, under the framework of the attention being paid by the Kingdom to education and the focus on the issue of quality in institutions of higher education, it was natural for the issue of performance evaluation and quality assurance in the institutions of higher learning in the Kingdom, to occupy a very paramount position in the strategies of educational development. Planned efforts to develop higher and common education have been marked out by the National Commission for Academic Accreditation and Assessment in the Kingdom of Saudi Arabia for the purpose of preparing standards and touchstones for assessment and academic accreditation.

### **Research problem and significance:**

Academic accreditation has become the world trend for revitalizing education. There is a strong trend in the Kingdom towards implementing it in the institutions of higher education in the attempt to develop and promote their outputs. Since the college of Science and Arts in Yanbu’ is one of the university institutions that crave after quality assurance in all elements of the educational process to actualize Taibah university’s slogan which it belongs and which comes in form of speedy achievement and quality performance, a department for quality assurance and development has been established in the College. Hence, it became a necessity to identify the availability of the requirements of quality assurance and academic accreditation in the college and the difficulties that may face its implementation. As a result, the research problem can be characterized in the following queries:

1. What are the requirements of quality assurance and academic accreditation in light of the standards of the National Commission for Academic Accreditation and Assessment in the Kingdom of Saudi Arabia?
2. What is the reality of the College of Science and Arts in Yanbu' in light of the standards of the National Commission for Academic Accreditation and Assessment?
3. What are the obstacles that can obstruct the implementation of the system of quality assurance and academic accreditation in the College of Science and Arts in Yanbu'?
4. What is the proposed perception to implement the system of quality assurance and academic accreditation in the college?

### **Research methodology and steps:**

To address the research problem, descriptive approach was used adopting the following steps:

1. Presentation and analysis of a set of previous Arabic and foreign researches to identify the concepts and problems addressed by them and how the present research has taken advantage of them.
2. Displaying the concept, objectives, characteristics and kinds of academic accreditation.
3. Survey and analysis of the requirements of quality assurance and academic accreditation in light of the standards of the National Commission for Academic Accreditation and Assessment in the Kingdom of Saudi Arabia.
4. Unveiling the reality of the College of Science and Arts in Yanbu' in light of the requirements of quality assurance and academic accreditation and the major envisaged obstacles that may obstruct its implementation in the college.
5. In light of the field research and discussion of its findings, a proposed perception can be devised for the considerations that must be taken into account to implement academic accreditation in the college.

### **Procedures of the field research:**

#### **Research sample:**

In light of the research objective that seeks to realize the requirements of quality assurance implementation considering the views of faculty members of the College of Science and Arts in Yanbu', a sample of field research participants has been selected from amongst the faculty members of the college. (The sample included faculty members from various specialties and all subsidiary structures of the college). The two researchers have defined the characteristics of the members of the research sample in the preliminary information as follows: (degree, department, gender, specialty, nationality)<sup>(264)</sup>. To ensure better distribution and representation, a random distribution and allotment was done. Out of the one hundred questionnaires distributed to the research sample, fifty one questionnaires were collected and three of them were put aside for not fulfilling all the required clauses. Hence, it is only forty eight questionnaires that were statistically analyzed. The following tables explain the actual distribution of the research sample:

#### **a. Sample distribution according to the "gender" variable:**

Table (1) illustrates the distribution of questionnaires to the research sample members from amongst males and females

S/N	Gender	Quantity	%
1	males	18	37.5
2	females	30	62.5
Total		48	100

<sup>(264)</sup> This is due to the diversity of the structures under the College of Science and Arts which embrace two buildings for Arts departments and another for Science in addition to a building for half of the students. As a result, the two researchers were keen on ensuring that the research sample comprises faculty members from all buildings in the college and from various specialties.

It is clear from the previous table that distribution of the sample according to the gender variable came in favour of the females with a frequency of 30 and a percentage of 62.5% whereas the males came second with a frequency of 18 and a percentage of 37.5%<sup>(265)</sup>.

#### **b. Sample distribution according to the “specialty” variable:**

Table (2) illustrates the distribution of questionnaires to the research sample members according to specialty.

S/N	Specialty	Quantity	%
1	Science	27	56.25
2	Arts	21	43.75
Total		48	100

It is clear from table (2) above that distribution of the sample according to the specialty variable came in favour of the science students with a frequency of 27 and a percentage of 56.25% whereas that of arts came the second position with a frequency of 21 and a percentage of 43.75%.

#### **Research tools:**

To achieve the research objectives the following tools have been used:

- 1- Personal interview: which aims to check the views of some faculty members with regards to the necessary requirements of quality implementation and the difficulties that face them during that.
- 2- Questionnaire: as one of the most commonly used research tools. It is also one of the academic research tools that is used to get information and data from the research sample. The questionnaire was designed to identify the requirements of implementing quality and academic accreditation in the College of Science and Arts in Yanbu', and the difficulties obstructing the achievement of quality.

The questionnaire was structured according to the following procedures:

- 1- Reviewing published literature about the research subject.
- 2- Taking advantage of the reports of the National Commission for Academic Accreditation and Assessment and findings of previous studies strongly related to the subject of research which contribute to shedding light on aspects of the research problem and designating and formulating the aspects covered by the questionnaire.
- 3- Verification of the validity and stability of both research tools.

Under each aspect a number of clauses was designated. Each clause of the questionnaire was apportioned a weight listed according to the Likert quintet scale and thus the questionnaire was composed of two parts:

One: Preliminary information about the respondent.

Two: Clauses of the questionnaire that correspond to the research queries and objectives and were composed of three major topics as follows:

- One: Actualizing quality requirements according to some fields.
- Two: Culture and awareness of the faculty members of the culture of quality.
- Three: difficulties and requirements of achieving quality, which includes:
  - Statistical processing techniques:

To analyze the research data, information was inputted and analyzed using the SPSS program<sup>(266)</sup>.

<sup>(265)</sup> Variation in the number of the research sample members between males and females is ascribed to the existence of such variation in the original community where the number of females in the college exceeds that of males.

<sup>(266)</sup> Su'ud bin Dhahyan, 'Ezzat Abdul-Hamid Muhammad Hasan, Mu'alajatul-bayaanaat Bistikhdam barnamaj (SPSS 10), vol. 2. Riyadh, King Fahd National Library, 2002, pp. 642.

**Field research findings:**

Findings related to the first topic: Actualizing quality requirements according to some reliable fields:

- Faculty members agreed with the statements of the first standard that relates with the mission, ends and objectives as a requirement for achieving quality and academic accreditation at a degree ranging between high and very high.
- The findings revealed that the second standard relating to administrative authorities has been achieved at a high grade with a proportion of eleven statements against ten at an average level. The least grade was attained by statements about the department of quality management in the college with respect to its functions and operation mechanism, the role played by faculty members in spreading the culture of quality and the procedures it takes to assess reports and programs.
- Faculty members agreed with the statements of the third standard relating to learning and teaching with a grade between high and average. The least grade was attained by statements about the procedures of periodic review, outputs of the teaching process that do not correspond with the outputs of the teaching program and objectives, giving students the basic skills of engaging in professions, tests, learning environment and the suitability of classrooms meant to habilitate program students in order to win their satisfaction.
- Most of the statements of the fourth standard that addressed learning resources got responses at poor and very poor degrees while only one statement relating to the availability of enough and modern references in the library was affirmatively responded to at an average degree.
- The degrees of teachers agreement with the statements of the fifth standard dealing with (facilities and equipment) ranged between average and poor wherein faculty members did not agree with the statements relating to building space, safety and security devices, laboratories and their equipment and areas allocated for students activities which are the aspects the research findings revealed not to have been achieved at an acceptable level.
- The findings unveiled that faculty members are highly cultured about the requirements of quality and academic accreditation.
- The findings also disclosed that there are genuine difficulties that obstruct the achievement of quality and that most difficulties are in form of obscurity of concepts, insufficient material and human potentials, procedures require efforts and time, lack of incentives, the difficulty of identifying the real training requirement of programs and difficulty in identifying performance standard.
- There are no variations with statistic significance at a level of (0.05) between the averages of the responses of members of the research sample depending on the gender variable (males - females).
- There are no variations with statistic significance at a level of (0.05) between the averages of the responses of members of the research sample depending on the specialty variable (Science - Arts).

**Proposed perception:**

Based on the findings of the current study with its dual aspects: theoretical and practical which stressed the existence of a set of problems relating to the reality of quality assurance in the College of Science and Arts in Yanbu' that obstruct the achievement of quality assurance and academic accreditation, a proposed perception of the requirements and mechanisms of attaining quality and accreditation requirements in the college has been made.

**The aim underlying the proposed perception:**

The proposed perception aims to attempt achieving quality and accreditation requirements in the College of Science and Arts in Yanbu' in light of the standards of the National Commission for Academic Accreditation and Assessment through the following:

- Devising a set of requirements to attempt achieving quality and accreditation in the College of Science and Arts in Yanbu'.
- Proposing a set of mechanisms to implement these requirements.

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### **Cooperative learning as a powerful approach in teaching English**

Nowadays the English language plays an important role not only in the world, also in our country, too. It is also connected with the realization of the cultural project "Tri-unity of languages" in Kazakhstan, because the most important requirement for us, as instructors of a foreign language, is qualitative providing of services in the field of education throughout the country according to the international standards.

The most important aspect of our research is that we have to investigate the role of the cooperative learning as one of the contemporary approaches which can play a crucial role in teaching English as a foreign language.

Teaching English as a second language is not an easy task. There are basic principles common to all good language teaching. As English is borrowed from German languages, teaching English for Kazakh people requires a lot of power, because Kazakh language is rather different from English language as it is one of the types of Turkish languages. For instance, in comparing Kazakh and English, the English sounds [ð], [θ] do not have equivalents in Kazakh that a Kazakh speaker can sound the words father and thick as [fa'zr] and [sik]. Grammatical interference takes place when word order in sentences, consequence of tenses and etc. in English deviate as the result of L1 influence. In an English learner's speech of Kazakh people grammatical interference is mostly revealed in word order of positive sentences, as in Kazakh positive sentence the verb is put at the very end of a sentence. Second field where grammatical interference occurs is the usage of prepositions in English as in Kazakh prepositions are given through endings.

But there are many differences not only in grammar or pronunciation, but in the whole structure. On the other hand, teachers who want to develop successful lessons faces different kinds of problems: lack of material, lack of technologies etc. Another challenge is a student who does not have any motivation for lessons. According to Hammer, uncooperative and unmotivated students are a serious problem and can easily disrupt the instructional process<sup>267</sup>.

That is why, in teaching English we try to give everything in clear way and also we must try not to make them get bored at English lessons.

The usage of modern technologies are becoming more and more actual in teaching foreign languages. In native and foreign publications the most effective ways of teaching foreign languages are considered as one of the most important factors of educational process. Cooperative learning as one of the effective ways of teaching foreign languages can increase the motivation of students to learn a foreign language.

The innovative techniques according to me are those which can be fun for students as well as teacher such as group work, project making activities and questioning. By using such activities students become more motivated and encouraged to learn, especially when materials and activities are interesting for students the learning process turn into spontaneous adoption of language. Among all these the most important and effective in learning English language is a group work, which helps students to overcome the barriers of being shy to share and speak in front of the others, here student have chance to learn from each other as well as improve their performance. In country like Kazakhstan we have the problem of TTT (Teacher talking time) many teachers teach standing at the front of the class and students sitting in row and listening. Teachers explain a new theme or a topic and after some explanation the students do some practice exercise or translation of the text and they are assessed whether they have understood what they have been explain by teacher. Teacher does most of the talking throughout the lesson and only teacher is the most active person. This is against the language teaching. The more the teacher talk, the less the opportunity is there for students to learn. Some teacher are afraid of silence in their class so they prefer to speak and some teacher think that it is more useful for students to listen to teacher to learn language. Which is not at all true, this problem can be solved by group work.

<sup>267</sup>

Hammer J. The practice of English language teaching. 3rd ed. Harlow, England: Longman. 2005. p.35.

The most important advantage of group work is that, the teacher can teach all four skills listening, (to each other and to the instructions of teacher) speaking (with each other under the supervision of teacher) reading( their notes and list of adjective) and writing. And group work increases students talking time ( STT ) opportunities to use the target language to communicate with each other and develop the sense of co-operation , sense of progress and achievement from group work activities. Group work is a good teaching technique because:

- Gives all students lots of practice time to use the language.
- Allows the quieter students to speak to group members, instead of speaking in front of whole class.
- Teaches students to help each other with their learning.
- Can improve motivation and students ' use of English'
- Allows students to talk about their own ideas, opinion and real life facts, so that they can develop real communication skills.
- Helps them to become more accurate and fluent in English.
- Varieties of groupings give students a change of working styles and learning experience.

Cooperative learning methods provide teachers with effective ways to respond to diverse students by promoting academic achievement and cross-cultural understanding.

The trend in modern education is moving toward lessons that are highly student-centric, interactive, peer-supported, and group-based. Studies have shown that students learn better in a peer-based group environment as opposed to one in which they work individually, and listen to their teacher lecture. Cooperative learning may serve to improve students' problem solving and creative thinking skills, as well as interpersonal and communication skills, all of which help them to become team players and all of which is highly sought after by employers.

We can also state that, cooperative methods are flexible and can be adapted for students with special needs. In diverse language settings, differences in students' English language proficiencies make it necessary for teachers to modify the methods to ensure that English learners can participate fully with fellow team members. For example, teachers may ask one member of each team to be a bilingual facilitator who helps students work together. In addition, activities that focus on social skill development and teambuilding should be used frequently to facilitate cross-cultural communication and understanding among team members.

In each class, one third of the students are less efficient students. The students are generally reserved and reluctant to use English. Many of them also become embarrassed if they make a mistake when speaking in front of other students. So teachers must find some ways to boost the students' self-confidence, to motivate and encourage them and thereby improve their fluency. So teachers need to be able to manage their interaction with the class in a way that allows all students equal opportunities to participate; learners also need to learn how they are expected to interact in the classroom.

Group work and pair work have become increasingly popular in language teaching since they are seen to have many advantages. Group work is a cooperative activity: four students, perhaps with a topic, are doing a role-play or solving a problem. In groups, students tend to participate more equally, and they are also more able to experiment and use the language than they are in a whole-class arrangement.

Many scholars proposed their own but actually rather similar definitions. According to Olsen & Kagan (1992), cooperative learning is defined as a group learning activities organized so that learning is dependent on the socially structured exchange of information between learners in groups and in which each learner is held accountable for his or her own learning and is motivated to increase the learning of others. Paul J. Vermette (1998) defined cooperative learning in this way such as a cooperative classroom team is a relatively permanent, heterogeneously mixed, small group of students who have been assembled to complete an activity, produce a series of projects or products and/or who has been asked to individually master a body of knowledge. The spirit within the team has to be one of positive interdependence, that is, a feeling that success for any one is tied directly to the success of others. To put it more concretely, cooperative learning approach defines the class as heterogeneous groups, the class is organized in groups of four or six students in order to fulfill a learning task

cooperatively. The learning task is based on interaction and reciprocal interdependence among the members of group and requires mutual help. In this educational approach, students and teachers are in a state of dynamic cooperation and together build up an intimate learning and social atmosphere in the classroom. The textbooks and the teacher are no longer the only source of information, but are replaced by a variety of other people.

But what precisely are the mechanisms that make a structure cooperative? There are four principles that ought to be observed in every structure, no matter its aim. These are:

1) Simultaneous interaction: Most students possible ought to be 'on' at the same time. The optimal form is pair work, which is very frequently included as a stage in the various structures. The classic example of the opposite is the teacher-controlled class conversation, where the individual student, to slightly oversimplify, 'waits in line' for 44 minutes so as to be 'on' for one minute. Simultaneous interaction can easily increase the student's speaking time tenfold or twentyfold.

2) Equal participation: As a rule, the structures are constructed so that everyone can contribute equally, with no one being forgotten or opting out. Once again, class teaching can illustrate the opposite: here the students volunteer and those who most need to practice speaking are usually those who say least - often nothing at all. In ordinary group work, ensuring equal participation is a well-known problem.

3) Positive interdependence: The structures are built up in such a way that the students in a team need each other's output if they are to solve the task they have been given. The contribution of each student is a piece of the total work. This means that everyone has an interest not only in explaining their knowledge to the others but in extracting knowledge from the others until they have understood each other. This push-pull mechanism is an effective 'engine' in the interaction that is lacking in class conversation.

4) Individual accountability: The structures give each student an important role in the interactional pattern. No one can opt out without this having consequences for the others. Individual accountability is one of the most important motivating factors in cooperative learning. Everyone likes to feel that they know something others can use, and everyone gets the chance of showing this precisely via the structures. Individual accountability is also implemented when students are being individually assessed in various assignments or tests.<sup>268</sup>

## Descriptions of Some Commonly Used Techniques

### Simple structures

#### Think-Pair-Share

This is a four-step discussion strategy that incorporates wait time and aspects of cooperative learning. Students (and teachers) learn to listen while a question is posed, think (without raising hands) of a response, PAIR with a neighbor to discuss responses, and share their responses with the whole class. Time limits and transition cues help discussion move smoothly. Students are able to rehearse responses mentally and verbally, and all students have an opportunity to talk. Both students and teachers have increased opportunities to think and become involved in group discussion.

### Roundtable

Roundtable can be used for brainstorming, reviewing, or practicing while also serving as a team builder. Sequential form: Students sit in teams of 3 or more, with one piece of paper and one pencil. The teacher asks a question which has multiple answers. Students take turns writing one answer on the paper, then passing the paper and pencil clockwise to the next person. When time is called, teams with the most correct answers are recognized. Teams reflect on their strategies and consider ways they could improve. Simultaneous form: Each student starts a piece of paper, writes one answer, and passes it, so several papers are moving at once.<sup>269</sup>

Therefore, summarizing the above mentioned information, it should be mentioned that contemporary approaches in the teaching English language play an important role in the development

<sup>268</sup> John Harris. *Effective Language Teaching: A Synthesis of Research*. - School of Linguistic, Speech and Communication Sciences, Trinity College Dublin. 2011. p. 69.

<sup>269</sup> Kagan Structures: Research and Rationale. Kagan Online Magazine. 2001.

of definite competences. Taking into account analyzing approaches, we note that cooperative learning is one of the powerful educational approaches for helping all students attain content standards and develop the interpersonal skills needed for succeeding in a multicultural world. In order to teach the young generation the new aspects of any subject, we have to change the approaches by which we are going to provide information.

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## SOUNDS OF PLACES BETWEEN ETHNOGRAPHY AND EDUCATION

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### Abstract:

This paper would be a contribution that connects the ethnographic and education work, anthropology and pedagogy. Through a three-step it builds the connection between ethnographic research carried out, starting from the sound phenomenology of a particular urban context, and seminars designed for university students of Education Sciences. In summary are presented those fundamental theoretical principles underpinning ethnographic research and are also the bases of the proposals seminars. Then it presents some methodological issues that characterize the construction of shared ethnographies: the relations established in the field with interlocutors activate processes of building knowledge and skills for both the ethnographer and the interlocutors. These educational modalities form the basis of the proposals seminars. The sensory approach and in particular the listening modes of the place allow you to access a different epistemology and therefore constitute an extension of skills. The seminars activities carried out in the same context of ethnographic research require students to test themselves and actively participate in the proposals offered. At the same time allows applying the theoretical constructs - learned in the classroom and on books - through experience and into reality of the context as it unfolds. This allows experiencing a real connection between theory and practice.

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**Key Words:** Anthropology of Sound, Ethnography, Education

### Introduction

“The city holds the roar of the ocean as in the volutes of the shell, or ear: if concentrate to listen the waves you do not know what the palace, what city, ear, shell.”  
(Calvino 1995: 66)<sup>1</sup>

This phrase borrowed from Italo Calvino seems particularly suited to start because it draws a summary of some issues that are particularly close to my heart. The issues that I present in this paper are related to a deep interest in anthropological study of sounds that characterize and constitute the contexts of life, and the ways in which human groups live within and build relationships. The entire route starts from ethnographic research that I conducted in the years 2006-2007, dedicated to the study of soundscapes in public gardens “Indro Montanelli” in Milan, a public park situated in the city center. From that initial research focused on everyday life of an urban environment, I thought and designed the analysis of some findings by interacting different disciplinary contributions. At this stage my interest is to experiment the contribution of ethnographic method applied in training field and educational practices.

Considering the thread that connects that ethnographic research and most recent seminar that I proposed, I will present in some passages the development of research, theories that support it, the phases of implementation and some results that, compared with the seminar experiences and feedback from students, highlighting the potential and the value that can assume the ethnographic method as relational and educational opportunities. The seminars - which also included experiential field, right in the same place (Montanelli gardens) - acquire a special significance when you consider that have been proposed to students of the degree course in Educational Sciences<sup>2</sup>, who will become educators and teachers and will operate in educational institutions but also in informal contexts, in community, youth centers, etc.

This development of the research comes primarily from personal knowledge gained during the fieldwork. In fact, checking the assumptions of the research, regarding methods of listening and sounds of place, I had to consider also the issue of ethnographer’s position in the field (Clifford,

Stoller) and other emerging items and new elements to investigate or work on. The conversational modes that I established with my interlocutors in the field allowed them to raise questions that required further deepening and then assumed the character of new acquisitions and mutual knowledge, because of the circularity in feedback, in confrontation, and through a shared construction (Lassiter 2005).

The phenomenological approach to the sound manifestations of/within Montanelli gardens made me able to experiment on one hand the necessity to stay close to the context and on the other hand the discovery of ever new stratifications and possible openings. The intense and constant frequentation of field, but especially the longtime of listening, showed off the effects of a new epistemology. Reflection on some results, when search over, led me to consider further developments (research in progress), and among these, the possibility of proposing seminars in the same context where I conducted my ethnographic research, using - even in partially modes and for a very limited period of time - some methods borrowed from ethnographic work.

Since the first seminar activities available to students (2009) it was clear their scant attention to the contexts in which they lived or studied, compared to increasing specialization aimed at use of space; these were accompanied by restrictions in the field of experience also determined by the time factor, extremely compressed in a city like Milan is. But through the experiences seminars emerged also the importance of sensory - and especially sound - and the potential to raise awareness and knowledge became evident at the very moment in which were understood modes and strategies to use. By these considerations, I will present below a brief excursus in my process of design and construction of ethnographic research conducted in Montanelli Gardens, including the individuation and research of theories needed to support such scientific work. Then I will expose some results obtained by the research. These will lead to the seminar proposal and focus on particular aspects emerged during the seminar in autumn 2012, dedicated to the educational and relational potential of the ethnographic method.

### **1 - The listening ethnographer and the multiplication of places sounding**

I started my research curios by the prospect opened up by the sound studies and stimulated by criticism of visual hegemony and sensory hierarchy that characterizes Western cultures - and therefore also ethnographic researches - developed by early anthropologists of senses. These scholars (Howes, Classen, Stoller, Corbin, Idhe) proposed a re-evaluation of all the senses, their interconnection in terms of perception, and awareness of different organizations and sensory hierarchies for different population.

The main question I asked myself was about the real possibility of making sound anthropology, and the challenge I took was to experience, into the reality of an urban place, a different way of understanding and study of the context. The basic hypothesis was that the investigation and analysis came within the perception and listening to the sounds in the context, not in opposition to dominant visual epistemology, but as a path result of different knowledge that allow to understand the meaning of that place, and the meaning attributed to it by those who lived and attended. With these assumptions, I conducted the research named "Soundscapes public gardens "Indro Montanelli" in Milan: anthropological approaches and multi-sensory".

The issue of intersensoriality, that is the interaction of the senses and multi-sensory ideologies, considered in relation to the individual or to society, is central to the approaches of anthropology sensory. We can appreciate then, the importance of making the contribution of different senses - as well as visual - trying to discover or rediscover the action, even in an historical sense, into the game of the interconnections between different senses and their contribution in construction of knowledge.

The identification of a suitable context to my research went in parallel with the construction of the theoretical structure, both with respect to the study of the place, and for the study of sounds and listening activities and methodologies. I then made use of theories and concepts of anthropology places, for the section on urban features and everyday context, and I made reference to the contributions of anthropology of sound and sensory studies on issues related to the sounds.

Steven Feld (1982, 2003) has been an important reference: in particular the definition of Acoustemology that he identifies as sound mode of knowing and being in the world. The fundamental

concept that hold together both the issues of place and sound is the phenomenological one proposed by Edward Casey (1996), that consider "place as an event", meaning a space-time relationship where the place is not a static entity because it "happens" and takes on the characteristics of those who live there.

The research context had all the features of place - as it is considered by Casey - and the phenomenological approach allowed access to the complex layering of sound events and transformations of the place itself. Through the long frequentation of the field and the deconstruction of the overall soundscape I was able to identify the different stratifications of sound "presence" whose manifestations indicating specific activities. They are produced by - and produce - relations at various levels and social activities, therefore characterize the context culturally. As phenomenological events of ways of life that constitute that particular context, they shall inform the specificities, differences and identities, movements and information flows that characterize the weaving of local and global. Through the sounds can be traced various activities that take place within the context and environment. I stress again that to focus on the sounds should not be understood as a way of opposing or excluding visual perception but as a way to correlate with them.

Moreover, as shown by Paul Stoller and David Howes, sensory anthropology studies are essentially based on the paradigm of incorporation, understood as mind-body relationship, which allows to overcome the separation that has characterized the whole of modern Western knowledge. For Stoller (1997) is necessary to acquire "knowledge of the senses" and in his essay "The Griot's Tongue" is assumed for the ethnographer a complex and incorporated skill similar to performing skills and knowledge embedded in the griot. David Howes shows that the extent of incorporation paradigm to environment, both physical and social, lead to the paradigm of emplacement, an important theoretical tool for an anthropological study of the senses and places (Casey 1996 – Howes 2005). Emplacement has as mirroring the theme of displacement: both allow to bring up some relevant questions in the anthropological research: emplacement in fact involves identity relations, a sense of cultural and social belonging, but also highlights possible ways of inclusion/exclusion. The displacement from the sensory and social situations often leads to social marginalization, as documented by many ethnographic essays, and as I got to check out during the search.

In summary, by listening to sounds in the environment (natural, environmental, human, technological, etc.) - and using "engaged listening" or "deep listening" mode, as suggested by various scholars of sound and sonority (Carter, Connor, Ihde, Erlmann, Bull) - can be traced back to the activities that produce them, to follow its development, and gain knowledge about place, relationships, social and cultural constructions. To deepen the analysis of these aspects I have used the contributions of Appadurai, Hannerz, De Certeau - relevant the study of the global and urban contexts, and aspects that characterize the sphere of the everyday life, but I do not discuss in this paper where instead I want to stress the methods and potential of listening activities and study of the sounds of a particular context.

The use of recording technologies becomes an additional contribution both alongside the research and in the written text (Feld, Stoller). But it is important to note that the recordings (audio and photographic) made to the field have also been an effective support during the process of shared listening and moments of collaborative re-listening and analysis that I have with my interlocutors, because have made possible a "dialogical sounding construction" (Lassiter 2005). It should be stressed in this regard that conversations with various interlocutors (habitual or occasional), have allowed to have different points of view and different "listening mode" about the place, moreover have set themselves and highlighted the further complex layering, and building different sound places within the same place.

The methodology of "immersion" in sound recalls those ways that Stoller calls "implication", where the subjectivity of the researcher is present, aware, and actively engaged in the context in sensory terms. "Engaged" listening as proposed by Carter (2004) is not just about intentional mode of listening sounds acoustically perceptible, but it involves forms of relational attention and dialogic construction. This approach offers the researcher reflexivity in relation to understandings, interpretations, meanings and ideologies, but at the same time adds elements of reflection and understanding of lived sound also to the interlocutors, bringing out the meanings given - or not - to the many different sounds present in context.

Finally I considered important to bring all these references and passages of construction and analysis, because on one hand, on these elements I based and made also seminars proposals - after conducted within Montanelli gardens - on the other, because they are useful to understand some research's results emerged through the conversations with interlocutors in the field and those witnessed by the students during the seminars and returns.

## **2 - Effects, training aspects, and relationships in fieldwork**

One of the aspects shown by the research is that the context of the public park, chosen as the field to investigate, is not merely "one" soundscape within the city but is the result of many sounding places constantly evolving and changing. They emerge from the generic set of sounds that characterize the urban environment - dominated by the traffic noise and filled with a diffuse background noise - and emerge in the foreground according to the different spatial walks, but they are also subject to different "positions and listening modes". We can become aware of own position in the world just from sensory perceptions - understood as channels of knowledge (Merleau-Ponty 1945) - and through direct experiences and thoughtful revision ways. The last one is a fundamental tool in all areas of relationships, particularly in teaching and education professions.

First of all, it should be noted that to state purposes of research by the ethnographer has aroused various reactions among interlocutors in the field: curiosity, disbelief, interest, but has also started new listening mode and clarify what belongs to sounding "unthought", that is, the mode of hearing which is a mindless listening. In fact, conversations and listening shared with interlocutors have highlighted some issues. For example, the persistence of the memory of zoo<sup>3</sup> and its sound was a recurring theme: the zoo evoked by the memory of sounds directly experienced or "known" by the children through the narratives of parents, is an example auditory imagination that operates through memory and become *presence*<sup>4</sup>, assuming also a function of identity recognition of public gardens and attribution of meaning to the place.

A second issue refers to the ideologies of the park that have occurred over time. The prejudices and ideologies - that is, those specific ways of thinking about the park and its use - that visitors take over the public gardens are related to the activities that take place there, influenced by the consistency of acquaintances, but also dependent on the temporal variations and climatic conditions, related to weekdays or weekends, etc. Among the different ideologies of the park, during conversations on the sound, emerged particularly the more recent ones who consider it "place for leisure and fun" and area devoted to "public park." According to the statements of interlocutors, it appears that the dominant one consider the park as a quiet and relaxing: paying attention to the sounds actually present, and documented through records, has been shown that Montanelli gardens - because located in the urban context - is a plurality of sounds that includes - in addition to those strictly internal to the park - every aspect of urban, global, multicultural life.

This, bring us questions to the sense that some places may take. Apart from the real sounding situation, the park was often perceived as a peaceful place, a place *other* than the surrounding urban context. It is clear that this perception is guided by a specific use of the park by visitors, but also from the general "common sense" which considers that place intended as a "public park". But through the phenomenology of Montanelli gardens's sound, the research has also highlighted the existence of other ways of thinking and enjoy the park: in fact it's perceived as a place of work by those engaged in economic activities within it (kiosks, carousels, employees of museums, personnel engaged in routes surveillance, etc.), but also takes on the characteristic of place "housing" for those in social exclusion areas that use the park as a "dwelling", and people for whom is a reference of sociality in everyday life.

The various identities that the park takes, are therefore interpretable also in relation to the ideologies that tell us "a priori" on how it is thought and lived. They condition the phenomenological perception; in fact, to consider the park as a "natural" place and relaxing means to consider the presence of silence: the desired one that "would like" exist in a park versus the noise of the city that surrounds it, and that under the ability to activate forms of auditory imagination "is hearing" even though in reality there isn't. Similarly is highlighted the capability to exclude unwanted sound or those considered (ideologically) not relevant in a space devoted to relax.

Is highlighted thus the importance and uniqueness of listening to the "place" that made it possible to deconstruct and reconstruct the soundscapes of the park in many sound places present

within it, identify the components and know the complexity. But the listening assumes a relevant role also as a *relational experience with yourself*, because it gives awareness of its own contribution not only to the listening but to the construction itself of the same sonority. It also underline forms of agency made through modality of "non-listening", understandings as a possibility and ability to exclude what you do not want to hear.

It is necessary at this point to introduce a reflection on the *implication*, as written above, and assumed in this case as immersion in the sounds of the context. It requires the involvement of the researcher and the use of his body as a research tool: this is evident when listening is used - and then the senses of hearing - in the way of active, intentional, and committed from the relational point of view, as the fundamental way for a sound survey.

It can be added two other aspects that the implication, understood relationally, can contain and that is explicit in the activity of listening: the use of emotions as a way of learning and the use of forms of courtesy. The latter represents a form of "cure", an approach of particular importance in educational relationships. Marianella Sclavi (2003) proposes the use of emotions in ethnographic work as a way to understand: so the astonishment allows the "phenomenological reflexivity" that "leads us to reflect on the unexpected changes and forces us to make explicit the deep expectations, that is the implicit assumptions we take for granted". In the same way it works the discomfort, because it can be a starting point for new forms of understanding. Pay attention to signs of distress - whether emotional or physical - and forms of cognitive displacement, brings its own implicit schemes of knowledge: they can be used for new interpretations or to identify other epistemological frames. I have experienced both during the fieldwork, either in relation to interlocutors and in relation to the context.

It should be emphasized also a feature of listening that point out the possibilities of sound to work through forms of cognitive displacement: the listening of one sonority might suggest a source of sound different from the real one. Even in these cases we note the effect of pre-understandings in the phenomenological interpretation; is another example of how listening, precisely because it is characterized as relational mode at many levels, contain aspects of ambiguity that can provide elements of additional knowledge.

Another aspect that shows the relational act of listening, understood as an implication, can be found in the use of forms of courtesy. Giovanna Axia (1996) defines the courtesy "the attention for others as a form of intelligence", but it is possible to interpret this definition amplifying it as a form of listening and applying it broadly to relational modalities. In these terms, it becomes particularly important if considered as educational practice.

Taking an example from the fieldwork, it is confirmed that even in this case is the astonishment to lead to reflection: an interlocutor at the end of a conversation thanked me for the time dedicated to him, I returned the thank evidencing the reciprocal gesture. Afterwards other speakers expressed themselves similarly. It should be noted that the astonishment involved both components in the relationship, pointing out - through the form of courtesy used - unexpected behavior, because little practiced in the "normality" of daily interactions. In these cases was operated a dual mode of listening, one related to the contents of a conversation and the other on listening to the conversation itself: it is so shown that listening mode as tension towards someone maintaining open communication, as mentioned by Carter (2004). The author believes active listening a cultural practice, in fact - considered as a device to evoke historical, cultural, social situations - it creates new symbols and meaning to the words that, in putting in a dialogical way between understanding and mutual misunderstanding, have the ability to root in a different way the communication: "Those who act on the basis of what they feel stress the erotic basis of communication. Instead of a monologue at two, from which is removed the ambiguity, representing a dialogue in which differences make a difference."

Conversations, listening and re-listening took place within the public gardens with the intention to highlight, on one hand, the meaning of listen, re-listen, and speak "the" park "in" park, and on the other the consciousness that this method has built. It was therefore a way of doing ethnography - and make explicit some mechanisms - as a way of listening to the park in the park at a meta-level, where listening, pathways, records and conversations intersect in their "sound and resonate" to use the Feld's words.

### 3 - From ethnographic research to seminars

From these experiences is assessed the educational potential of the place Montanelli gardens and the possibility of explicit trajectories of reflection directly into it. The particularity of the place allows you to develop educational practices because it has two distinct but complementary characters: the one of the outside opening - that totally differs from the usual contexts of the classroom - and the possibility of considering it as “educational setting” because perceived as a place *other*, delimited and protected compared to the surrounding urban environment. In particular, as already written, it presents features as relational context of knowledge, awareness and formation of the self, therefore particularly suitable as an experience place if proposed as a formation opportunity for university students in an academic preparation to educational activities and teaching.

To be specific, the work with students was developed through a theoretical classroom presentation, accompanied by documentary fragments from my previous ethnographic research, useful to contextualize the Montanelli gardens - unknown to most of the participants - and to propose some fundamental concepts which allow us to deal with the activities and be up and running in the field. Following the field experiences students were involved in writings - in terms of context documentary and reflective over the personal experiences and autobiographical - linked to shared experience and that did emerge relapse of experience in terms of education-training, for themselves and in perspective the commitment as future educators and teachers. The final phase was a time of sharing and returns, both writings and experience as a whole. Specifically, I will present here some aspects of the workshop held in autumn 2012 because dedicated expressly to the ethnographic method as a relational modality and training. On this occasion the focus of the seminar required students to do sensory experience, in particular in listening in the Montanelli gardens.

Returns from students, both in writings and in conversations activated on the field and classroom sharing, showed some significant aspects. Here I will list only those that bring to the front the active relationships with the sounds and the location, the sensory experience of the environment experienced by each student, the meaning attributed to the place, and the personal and collective acquisitions promoted by the experience.

One of the first aspects on which dwell concern the initial discovery - by students - about difficult to hear and listen the different sounds present. Emerged in particular the *non-habit to focus on the sound in general*, especially if perceived in the environment in a diffuse manner, distributed in space and not directional. In particular, since it is a context thought “a priori” as a place to spend your free time. Not surprising that the place is diffusely dense of sonority - it will be precisely the deconstruction of the whole to bring out and recognize the singularity sound - but the fact of carrying out academic lessons in that place was a proposal totally other than the usual place of the lessons at university. In addition, the proposed methods also changed: each student was directly called into question. It was not possible to postpone any activity to a later time because it was required the active participation in discussions, sensory engagement, and involvement in activities and documentation that would allow each to be able to spread the elaborate for the individual evaluation. Here we find the action of the cognitive displacement mentioned above, that the context and methodologies activated posed.

Adopted strategies have operated in terms of deconstruction and reconstructions of the experiential value bring, through gradual transitions, to the discovery of the sensory interconnection: the listening activities were initiated and activated also soliciting references to tactile perceptions. In fact, the quality of the ground and various paths provided different tactile information while on the move within the park.

Walking is also a sound activity, which produces sonority and change the place “sonorously”, but in the simplicity of its realization requires you to put your feet on different soils, and consequently perceive tactilely these variations: the two sensoriality - tactile and auditory - are closely related to each other and intersecting to visual perception. Such experience is sufficient to enter into *relationship with themselves* to a greater level of attention and therefore an increase of consciousness. This is also facilitated by the change of the space-time dimension, because explore a place and to listen requires a slowness and rhythm that deviates from the usual daily proceed. These are other elements that students have taken and with whom they had little experience, but slowness, as Sansot

writes (1999:12-13) serves to "increase our capacity to welcome the world and not to forget about ourselves road doing it".

With the progress of the activities will begin to improve personal perceptual abilities and can *emerge skills un-thinkable before*: the recognition of "knowing how to do" something that you did not have awareness, and the amazement of discovery generate reflection on unexpected. This step represents the activation of *another epistemological mode*. The understanding of the need to proceed gradually, welcoming the curiosity and the unexpected refine the ability - not only sensorial, but also cognitive - to accept the otherness in general.

From a collective reflection initiated in the field, with respect to this issue, showed that it became possible to make sense of experience creating a link between the classroom theories and the reality of the context lived and met in a direct way: by walking among the users of the park and immersed in sound experience, even the simple perception of a phrase in a different language led into the flow of globalization. But also opens with the reflection on otherness in terms of sharing space with those who, for example, lives the experience of migration.

Another important point regards the *possible meetings*, not only in a random sense of the word but as real possibility of entering into a relationship, try to build a conversation with someone you do not know. The *surprise of unexpected encounters* also includes those unexpected and much appreciated by students whit people who make free music in the park, occasionally, or because they use this place to practice, individually or in small groups. Here comes the issue of pre-understandings and an ideology discussed above, but also implies the expectations of each in relation to what can be found in a particular place. Frequentation of similar places - often with peers - is the reference orientation respect expectations and understandings of a place. The park ideologies, also inform on the expectations about places, routes and meetings. On the other hand, unknowingly also suggest closures and restrictions: consider a public park only as a place of recreation does not prepare to take interest in research of all aspects, activities, acquaintances, conflicts that are layered inside.

In reworking phase was emphasized by students the opportunity during the experience to make a *concrete link between theory and practice*. Even more theoretical aspects and concepts learned on the texts in a detached and aseptic way, if properly connected, find the ability to take consistency, establish a connection with reality and become effective learning. One example is the concept of *threshold*: one of the key concepts in anthropology of places, it also applies to sonority, with direct or metaphorical implications in many other areas, including the educational ones. During the seminar was possible to experience the concept of threshold, check the real correspondence through the activities of listening and implementing what De Certeau (1980) calls the "practices of the space"; walking has experienced the transition from conceptual dimension to practice, from a word written in a text to a sensorial experimentation.

Taking up the statement of a female student "...for sure we agreed that was a new experience, which involved us". The value of experience - according to the feedback of participants - emerged at several levels: sensorial and cultural, personal and collective.

We must remember that, unlike the classroom lessons, experiences seminar (as such) were organized in a small groups of participants: this made it possible to participate in the exchange of personal and collective reflection and sharing during the experience on the field. In fact, many students have emphasized the exchange of ideas and experiences, which took place on that occasion for the first time, with classmates who recognized – by views - but that until that moment had been strangers.

Another aspect to add is that the size of the restricted group allowed the participants to interact with the place and its inhabitants or visitors in a state of 'authorization and protection'. Being in a group and recognize identity "as a group" has emerged as a facilitator and support element, both in enjoying the perceptual experience is in relating to the environment and people, especially if perceived as "other" or from elsewhere. The group has allowed the comparison, accepted singular narratives, but it was also a source of verification with respect to the perceptions and emotions of each. It has also given rise to a kind of complicity in the positive duty to observe, discover, learn, collect and share documentary material.

The activation of *personal memory* is a factor that acts at the individual level, but involves the whole group through the shared narrative of personal memories. As Montanelli gardens are a public

park, some students residing in the city reminded that they visited it when they were children - with educational tours organized by schools - or to have them visited with their parents or grandparents, or with friends. But it is through the practice of the travel which constitutes the place through the narrative space, as De Certeau says, and the various stages bring to the surface memories of visits or acquaintances in other stages of life. So, some students testify the emergence of memories that were believed lost, or, if they still exist, emphasize diversity than what was experienced during the seminar. The experience becomes a reminder to those who already knew the park, because it is lived by a different awareness: "This experience has made me rediscover this place through another sense." The sharing of these aspects by part of some it becomes a story for all and builds knowledge of the place as sedimentation of experiences and memories. The common narrative, in a certain sense makes to participate in the lives of others, to the places of others.

Finally, some notes on the *skills, discovered or acquired*. Returns from students shows that the picklock that changes consciousness, memories, and can also rearrange the lived past, is the practice of listening to the sounds of the context in the wide spectrum in which they occur, from the noise to the silence, also including the sounds produced by ourselves, by the physical action of walking, until the oral narratives and discussions.

As already pointed out above, even if the experience took place in a short time, asked to consciously *try to change a hierarchy sensorial placing hearing in the first place*. During experience that subversion has also acted as stimulus to increase attention to the senses in general. Support the proposed work with some suggestions made possible the testing of the importance and connections with other sensoriality, the inter-sensoriality of which speak to us Howes and other studios. "The sonority has educated us," said one student. In fact, many returns pointed out that the experience in the field has revealed the habits of perception and the use of a superficial glance, emphasizing not only a non-habit of listening but also a disregard for the sonority in general, except maybe the usual ones, known and reassuring or those personal choices daily to exclude others, for example the use of headphones to listen to music and at the same time isolate from the rest of the world.

This is a significant step forward because confirmed by another student who has experienced the chance to "let go hearing", as if to signify a way to indulge in it, by suspending a defensive attitude taken perhaps as self-protection. In this perspective, the sound and the sonority in general are considered in their potential involvement: because the ears do not have eyelids and auditory perception cannot be interrupted with a blink of an eye, it could be necessary for some people to have instruments to insert diaphragms between himself and the invasion of sound by the world; a device may be the activation of a mechanism of exclusion of sound through other selected sounds with which to live (eg music from iPod ...).

A listening "engaged" is hard and different feedback claimed the effort that such an experience entails. Requires intentionality, commitment, new learning, but also provides the knowledge to be able to listen, not just hear or feel. At the same time implies a necessary involvement of listening in the relationally that characterizes the practice. Then, let yourself go to hearing, sounds no more as a declaration of surrender, but as the acquisition of new possibilities to explore aspects that are often not obvious to eyes and therefore not considered important. "Try the feeling of amazement," unexpected in a place like the park, implies the disruption of the usual and the obvious and is accompanied by the acquisition of new knowledge, with respect to the place and everything in it. But above all, it shows a possible path of transformation, as highlighted by a female student: "Was like taking an experience of change and growth that I experienced just a few days after." This statement summarizes the dynamic perspective that can produce a targeted listening experience engaged in the world in which we live.

## Conclusion

The final part of the previous paragraph contains some quotes with words that students returned and commented on their experiences during the seminars in Montanelli gardens of Milan. I chose to include them because is a way to make them sounding and at the same time to give voice to the participants. The context in which we worked was characterized by participants as a place *other* if compared to the surrounding urban context and to seminars, unusually carried out outside the classroom. The activities and training objectives required commitment and involvement, and were

organized by adopting some methods that belong to the ethnographic work - like knowledge of the context through exploration and sensory paths, listening to the sounding place, documentation forms and reflective writing - but especially conversational and sharing modes. The latter also includes the conceptual references that, discussed within the same place of the experience, made it possible to translate theoretical aspects experienced in practice.

In conclusion we can add one more thought. Experiment with forms of active listening of sound phenomenology of place shows, among other possibilities, the potentials of action that allows rooting into the context and at the same time allows to learn and to review other epistemologies. Exchange and direct comparisons become a source of knowledge that enriches the background of each and everyone. Such sharing is particularly effective because it took place in processual path. The foresight to work with small groups gives every person the possibility of speaking and respect for individual times. For an osmotic principle, or a sort of mimetic behavior, occurred the sharing of experiences and thoughts, perceptions and emotions, comments and listening that have prompted further reflection not only on the specific themes of seminar, but also from the sensory experience itself, that each participant has lived and that assumes the value and recognition at the time of narrative shared. The circularity of the process during the field experience added to a reflective action produced by the writing of each participant has allowed reflections on a second level, as resulting in the final moment of the seminars carried out in the classroom. This dynamic can be summarized and represented as a circular route - starting from the academic institutional context – that allows you to bring the theory in reality, try and verify it in the field, and then reworked it back to the beginning, ready to start again with other experiments, and listening.

### Notes

1. Personal translation by the original text: “ La città trattiene il rombo d’un oceano come nelle volute della conchiglia, o dell’orecchio: se ti concentri ad ascoltarne le onde non sai più cos’è il palazzo, cos’è città, orecchio, conchiglia.” (Calvino 1995: 66).
2. Refers to Dept. of Humanities Education, University of Milano-Bicocca – Italy.
3. Until the 90s of the last century a zoo was housed within the gardens Montanelli.
4. The entries in italics are the writer full text.

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## **BENCHMARKING OF INSURANCE PRODUCTS IN LATVIAN INSURANCE INDUSTRY**

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### **Abstract:**

To date there are no guidelines, laws, or standards in Europe to define how to market to consumers products, which are complex, information-rich, and hence cannot be easily compared to facilitate consumer purchase decision. Direct price/quality comparison of available insurance services is virtually impossible due to complex informational nature of the product and the role of intermediaries, who often market the products based on insurer's reputation and its "closeness" to that particular intermediary. As a result, consumers receive impartial information on the comparable standing of competing products, which results in sub-optimal functioning of the market. The purpose of this paper is to examine the product marketing information channels and methods in Latvian non-life insurance segment, and to identify whether consumers can receive comparable information on competing insurance products. This work is based on a case study. Data is collected using interviews with insurance brokers, and desk research.

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**Key Words:** Benchmarking, insurance intermediation, product comparability, consumer purchase decision making

### **Introduction:**

In 1999 Council of the European Union announced an ambitious vision of Europeans inhabiting Information Society (also dubbed as "e-Society" or "e-Europe") by 2005 (Council of the European Union, 1999). The vision of e-Europe was to bring forth "changes, the most significant since the Industrial Revolution" (Council of the European Union, 1999), creating a highly competitive Knowledge Economy. More than a decade down the road, we have learned the hard way, that the success of establishing informational economy (Castells, 1996) cannot be measured solely by the availability of services on the Internet (Daniel, Wilson, 2003).

One key distinction has to be made here between availability of information and knowledge (about products). Knowledge about content, quality, pricing of services, as opposed to information about services, facilitates consumers' weighed decision-making, whereas abundance of information leads to confusion and consumers' inability to make a favorable decision. Just like other markets, also insurance markets are characterized by incomplete information on both supply and demand sides, which may easily induce moral hazard behavior and adverse selection (Eckardt, 2007). The problem is that for incompletely informed consumers it is difficult to make benchmarking of services provided by competing insurance intermediaries. Among others it is due to transaction and search costs (Eckardt, R athke-D oppner, 2010).

One of the major economic sectors of European economy – insurance – is well positioned to stand among first in the formation of the New Informational Economy. In insurance business, information is "doubly important", as it is both "raw material and a product" (Castells, 1996).

Hardly any insurer in Europe does not present information about offered services on the Web or allow the citizens making transactions online (Kheng-Tan, Tan, 2009). However, to date, there are no unified insurance products' comparison (benchmarking) tools available to European consumers. Availability of such tools would serve in establishing grounded knowledge on the (comparable) quality and pricing of available services, allow communicating information on available services in

uniform and understandable format, thus helping individuals and enterprises make weighed purchase decisions.

The aim of this work is to examine the legal and practical premises for product information distribution in Latvian non-life insurance segment, to evaluate the degree to which consumers (can) receive comparable information on competing instance products. The departing point for this work is the assumption that insurance product benchmarking is a (missing) critical factor in transforming the insurance industry to meet the principles of Knowledge Economy.

### **Case study: non-life insurance services in Latvia**

In this research we used a case study methodology to investigate the legal and technical premises for non-life insurance product information distribution in Latvia. A number of data collection techniques were deployed, namely: in-depth interviews with heads of industry associations, expert knowledge of one of the authors, and a desk research.

Three open-ended in-depth interviews of duration from 56 to 106 minutes were conducted with principals of the three Latvian associations representing instance industry. All interviews were audio-recorded, notes of interviews were written down.

To complement interview data, desk research on legal and technical aspects of service offering and information distribution was conducted.

There are 11 non-life insurance companies operating in Latvia. All of them are offering different kind of services, including online (e-)services. Insurance brokers are important “players” in communicating insurers’ product information to the consumers. Brokers are using different information and communication technologies to acquire information about insurance price offers using price calculators available on different insurers’ web sites, combining results in one offer and displaying it for clients in their web pages (or providing in person). Advances in e-commerce technology and fast growth in consumer use of the Internet has created a platform for online price comparisons (Robertshaw, 2012), which applies also to insurance industry.

One of the most popular aggregate e-services of an insurance broker is to obtain/calculate, compare prices and sell Motor Third Party Liability (MTPL) insurance to car owners. Here, the only criteria for comparison is price. For MTPL insurance such benchmarking is reasonable, because MTPL policy conditions are defined by law. However, in the case when other kind of insurance is to be offered, a substantial (level of) benchmarking of available on the Latvian market products and insurance services’ content and pricing must be undertaken by consumer or broker on consumers’ behalf. While knowledge obtained from such comparative analysis would be critical enabler of competition and transparency in the market, this kind of analysis cannot be easily performed due to legal and practical setup of the industry.

Insurance industry in Latvia is represented by 19 insurance companies and branches of foreign insurers (11 non-life and 8 life). Insurance companies operating on Latvian market offer to their clients all kinds of insurance including motor, property, health, life, as well as pension and savings insurance.

Eckardt (2007) explains that a number of institutions have evolved to mediate between consumers and insurance companies, such as exclusive agents or insurance brokers, who help to ease coordination and to further market transactions. Currently there are more than 80 insurance broker companies in Latvia, 45 of them are members of LIBA – Latvian Insurance Brokers Association. The aim of LIBA is to develop insurance brokers’ market, raise the quality of insurances services and representation of common interest of the members.

### ***Information distribution channels in the insurance industry***

Insurers distribute their products and information about them directly through their offices or websites, or indirectly through insurance intermediaries. Two important distinctions must be made in the product/process distribution process – that of instance mediation and intermediation.

Accordingly to “Activities of Insurance and Reinsurance Intermediaries Law”, insurance mediation refers to “the preparation of an insurance offer and other documents required for entering into an insurance contract, *the explanation of the provisions of an insurance contract and the rights and obligations specified in an insurance contract*, the performance of other activities required for

entering into an insurance contract, as well as the entering into and administration of the referred to contract” (Activities Of Insurance And Reinsurance Intermediaries Law, 2005, italics by the authors).

Accordingly to the same law (Activities Of Insurance And Reinsurance Intermediaries Law, 2005), insurance intermediary is an insurance broker, insurance agent or a tied insurance agent who, for remuneration, pursues insurance mediation in accordance with the procedures specified by this Law. Insurance intermediaries are insurance broker companies, banks, car dealers, and other legal entities whose basic activity is not insurance mediation.

### ***Product information distribution channels***

According to the law, only brokers are allowed to provide customers with advice, based on comprehensive analysis of several insurance offers provided by insurers. Brokers are playing dual role in the insurance market. They are acting as consultants for clients, and at the same time they are distributors of insurance products for insurers.

Insurers can endow brokers for risk underwriting and authorize them to take liabilities on insurers’ behalf. European Commission in its research about EU insurance market acknowledges that “this dual role is a potential source of conflict of interest between the objectivity of the advice they provide to their clients and their own commercial considerations. Such conflicts of interest can also arise from a number of sources linked to their remuneration, including contingent commissions.” (European Commission, 2007).

From conducted interviews it follows that insurance companies in Latvia remunerates insurance mediators for their services by paying commissions:

- it can be expressed in form of percentage from insurance premium for each concluded insurance policy; or
- commission is calculated from total amount of underwritten and collected premiums.

Amount of commission can vary accordingly to total volume of underwritten premium, and/or earned insurance premium loss ratio for each particular insurance kind.

Mediators – insurance agents and tied agents – additionally can receive commission for volume and remuneration for marketing services, if there is such additional agreement. The practice of remuneration and commission payments has been recognized as distorting product information delivery, as quoted in EC’s ruling: “In respect to the insurance intermediaries, the market surveys and the public consultation highlight the fact that current market practices – in particular the lack of spontaneous disclosure of remuneration received from insurers and other possible conflicts of interest – create an environment in which business insurance clients, in many cases, are unable to make fully informed choices.” (European Commission, 2007).

### ***Case analysis: towards unbiased information distribution channel***

As a solution for the identified problem of potential conflict of interests in insurance products’ information distribution, the authors propose to create a new information channel for consumers. This new channel should be void of direct influence by commercial interests of insurance intermediaries. To cater for objectivity of product information, information gathering, aggregation, and dissemination functions should be assigned not to any one particular broker, but to an association of brokers. Insurance brokers are licensed by their professional associations, and they are experienced insurance professionals, so they can be considered as insurance field experts with widest knowledge about insurance products and services available in the market. If their tacit knowledge could be systematized, and expressed in standardized, explicit form, it would become valuable new alternative information aggregation method. As precedent for such insurance product information aggregation effort, existing similar initiative from LIBA can be mentioned. Since 2007, LIBA has been collecting information on insurance companies through its annual survey titled “Insurers’ performance evaluation by insurance brokers”. LIBA uses the gathered information to benchmark insurers against one another. All members of LIBA participate in this survey evaluating each insurer’s performance, according to 9 criteria, by giving marks from 1 to 5, where 1 is the lowest possible performance evaluation, and 5 is the highest evaluation.

Similar approach can be used to benchmark insurance products, developing insurance products' rankings. First step towards creation of such insurance product ranking should be development of product quality standards.

To date, there are no unified non-life insurance product quality benchmarking standards in Europe. Such standards would allow reduce the amount of information consumers are exposed to and serve in establishing grounded knowledge on the (comparable) quality of available services. Existence of quality standards for (insurance) services would allow communicating information on available services in uniform and understandable format, thus helping individuals and enterprises make weighed purchase decisions.

### ***Implications for practice***

Having examined legal background for product marketing in Latvian non-life insurance segment, it can be concluded that insurance brokers are the only intermediaries allowed to provide customers with advice, based on comprehensive analysis of several insurance offers provided by insurers.

However, insurance brokers are acting not only as consultants for clients, but also as distributors of insurance products for insurers. This dual role is a potential source of conflict of interest between the objectivity of the advice the brokers provide to their clients and their own commercial considerations.

Insurance brokers are insurance field experts with widest knowledge about insurance products and services available in the market. If their tacit knowledge could be systematized, and expressed in standardized, explicit form, it would become valuable new informational source, which can be used by consumers (or any other market player) to compare insurance products.

To make it possible to compare insurance products' information in a meaningful way, reference or/and ontology standards must be developed – to date, such standards haven't been developed in Europe (Janovs, Fomin, 2011). Development of standards for insurance product benchmarking would allow reducing the amount of information consumers are exposed to and serve in establishing grounded knowledge on the (comparable) quality of available services (Janovs, Fomin, 2011).

Having identified the lack of information distribution channels void of potential distortion of information due to the conflict of interests, we propose that insurance products' comparison (i.e., qualitative benchmarking process) can be undertaken by independent market player, such as industry association of brokers. The association undertaking the product benchmarking would establish a new independent information channel through which consumers would receive comparable information on competing insurance products. Moving the information gathering and systematization processes from brokers to the broker association would avoid potential conflict of interests and thus cater for objectivity of information.

Insurance brokers are not currently collectively involved in insurance product quality benchmarking and have potential to participate in this process if credible and efficient new information gathering methods and tools become available. Internet can be used as a platform for collaborative effort of the brokers.

Knowledge must be accessible to consumers in a simple and understandable form, such as ranking of insurance products. At same time, criteria and ranking formation principles must be clear and easily accessible for anyone interested.

Inasmuch as successful positioning and promotion of benchmarking contributes to the prevalence of knowledge, the knowledge leads to formation of opinion on competing products and services in the industry. Proper feedback mechanisms can help improve the original product offering if collective industry experts - brokers' opinions in form of rankings are fed back to the insurers.

### **Conclusion:**

Research findings show that insurance brokers are the only market players which are allowed and capable to provide to consumers comparable knowledge on insurance products and services available in the market. However, there is a risk of information being distorted due to conflict of

interests, as brokers receive premiums and remunerations from particular insurers. Therefore, we suggest consumers would benefit if a new information channel was established.

In the earlier work (Janovs, Fomin, 2011) we suggested that industry representatives (associations) should establish mutually accepted qualitative product benchmarking criteria and standards within insurance industry. Having established standards for product comparability/benchmarking, the insurance industry through its associations could close the information gap the consumers are exposed to.

Establishment and promotion of new informational channel and handling of information according to mutually accepted format or standard would facilitate information exchange and reduce odds of impartiality in distributing information about insurance services by intermediaries, thus contributing to the improvement of the industry and economy as a whole.

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## TOPIC ARTICLE THE IMPACT OF EDUCATIONAL REFORM ON SCIENCE AND MATHEMATICS EDUCATION IN QATAR

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### **Abstract:**

Despite the resources that have been invested in the educational reform in Qatar in the last few years, no systematic study has been conducted to investigate the factors behind the disengagement and disinterest in science and mathematics in Qatari schools. This paper explores why the Qatari education reforms launched in 2003 as “Education for a New Era” have not reversed the significant decline observed over the past 15 years in the number of students studying mathematics and science at both secondary and tertiary levels of education. It outlines the main features of current science and mathematics education at Qatari schools, examines the performance of Qatari students on both national and international tests, and looks at enrollment trends in science programs at Qatar University, the only national university in the state. It further seeks to identify the major factors influencing student attitudes towards mathematics and science, as well as the decline in interest and enrollment in these subjects. The paper will also discuss the long-term impact of this decreasing interest in sciences and mathematics and will review incentives that might reverse this trend.

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**Key Words:** Science education, educational reform, independent schools, instructional strategies, students’ attitude and interest

### **Introduction:**

Science and technology were once fields that could attract young Qataris, but there are now concerns about the declining popularity of science and mathematics among young students in most countries (World Bank, 2008). Several developed and developing countries, such as those in East Asia, have taken certain measures to motivate their students to be engaged in science and technology (General Secretariat of Development Planning, 2012). Most countries of the world, however, still suffer from serious shortages in professional scientists, mathematics and science teachers, engineers and technologists because of low levels of engagement and reduced enrollment in science, technology, engineering, and mathematics disciplines, also referred to as the STEM disciplines.

In its 2008 report “The Road not Traveled - Education in the Middle East and North Africa,” the World Bank indicated that only 20% of university students in most Arab countries are enrolled in science and engineering versus about 70% in social sciences and humanities; in Qatar, 19.1% are enrolled, primarily in engineering fields (World Bank, 2008). Qatar University’s statistical summary substantiates the World Bank finding, indicating that over recent years less than 12% of students annually enrolled in science and engineering programs (Qatar University, 2008).

The World Bank report indicated that, as is the case in Qatar, this enrollment pattern is historically consistent with a policy of absorbing most university graduates into civil service jobs (2008). However, it points out that “it is ill suited to a development strategy which requires more contribution by scientists and engineers in economic growth than are social scientists and students of humanity. This is largely because of the increasing importance of technological innovation and adaptation in the development process” (World bank 2008, p. 22).

Since science and technology are often perceived as fundamental forces behind economic growth of developed countries, the Qatar National Vision 2030 (General Secretariat of Development Planning, 2010) stated that Qatar to become a developed nation and move towards a knowledge-based

economy, requires considering science, mathematics (and consequently technology) as important subjects to excel in. Further, the labor market strategy report prepared by the International Bank for the state of Qatar states that to achieve that goal the real solution rests on Qataris acquiring the right education, skills and motivation that would enable them to engage in high productivity jobs (World Bank, 2009).

Students' decisions about study and career paths are primarily based upon interest in a particular field, and particularly on their perception of job prospects in that field. Educational content and curricula play an important role in raising and maintaining young people's interest in science and technology, and positive contact with science and technology at an early age can have a long lasting impact. Negative experiences at school, due to uninteresting content or poor teaching and various other factors, often inform future choices. Furthermore, curriculum structures that motivate students such as practical investigation and problem solving can also play an important role in preventing students from pursuing their natural preferences (Hofstein & Lunetta, 2004, Millar & Abraham 2009, Russell & Weaver 2008).

Since 2003, a number of reports have focused on educational issues in Qatar: the United Nations Development Program (UNDP) human development reports published by Qatar's General Secretariat for Development Planning (GSDP); the World Bank report on labor market strategy submitted to GSDP; the RAND-Qatar policy institute reports; results of the Programme for International Student Assessment (PISA) and the Trends in International Mathematics and Science Study (TIMSS) international tests, Ministry of Education statistical reports; Supreme Education Council Evaluation Reports of the Qatar Comprehensive Educational Assessment (QCEA), and Qatar University statistical reports. These documents reveal trends in learning and highlight the attitude and perception of science and mathematics among schools and university students which will be discussed later in this article. These findings have served to direct the attention of educational authorities to the significance of the problems in science and mathematics education. They also provide insight as to the curricular change as content and pedagogy are revised and restructured.

In addition to looking at science and mathematics education and student trends in Qatar, this paper will also explore strategies that can improve the quality of education inputs and outputs in science and mathematics to achieve the goals and objectives of the Qatar National Vision. It will also outline the major impacts of the educational reform launched in 2003 under the initiative banner "Education for a New Era" (General Secretariat for Development Planning, 2010).

These issues will be addressed through posing the following questions:

1. What are the educational opportunities and incentives in science and mathematics that are available to Qatari youth?
2. What are the prevailing strategies of instructions in science education and how can they be improved to achieve the goals and objectives of the Qatar National Vision to become a knowledge-based economy?
3. What is the impact to date of the reform policy on science and mathematics education in Qatar?

## **Methods and Data Collection**

Answers to this study's research questions relied on three different sources of data:

1. Analysis of relevant data from documents and reports dealing with education in Qatar.
2. A School Science Teaching Inventory Questionnaire (SSTIQ) was administered during February and March of 2011 in 24 schools (eight elementary, eight preparatory and eight secondary with four schools representing each type and gender of students) and included interviews with 48 science teachers from these schools. Each school filled one questionnaire guided by the science coordinator. SSTIQ was intended to collect data on all major aspects related to science teaching. The questionnaire was divided to cover nine themes of data on: students, teachers, technical staff, teaching strategies, teaching hours assigned for science subjects, lab facilities and resources, assessment weighing, classroom settings, and science related extracurricular activities. The lab facilities theme included four questions on availability of space and lab size and suitability, the status of schools' science instruments and materials (in general) that may enforce and enhance the delivery of the curriculum content and objectives, the way practical sessions are conducted, and

the limitations of performing practical sessions. These schools are independent schools which are generally equipped with similar packages of lab instruments and materials for the same school stage provided by the Ministry of education but are differently utilized; in some schools some instruments may be locked up in a store without being used, or some teachers are not aware of their existence. For this part of the study only data related to resources and teaching strategies were used.

3. A science teacher questionnaire on factors influencing students' interest in and attitudes towards science (May 2011). The questionnaire asked teachers to rate, on a five-point Likert scale their perception on the reasons of the decline in interest in, and attitude towards science subjects; listing 16 major factors. The question was "*Indicate the extent that the following factors may contribute to the decline in interest of students in science subjects (5 represents very strong influence and 1 is very low influence)*" the list of factors and teachers' responses are given in table-2. The questionnaire targeted science teachers from the 24 independent schools who filled the SSTIQ.

### The Significance of Mathematics and Science Education to Qatar

In an increasingly globalized world, "high-quality science and engineering research are no longer the domain of only a small group of developed countries. The ability of science and engineering to contribute to societal goals, [and] address global problems, relies, to a high degree, on global communication and cooperation" in science and engineering (National Science Board, 2001, 7). Qatar has taken these latter priorities to heart as is particularly evident in the establishment and launching of the Qatar Foundation for Education, Science and Community Development in 1995.

In 2003 the Qatar education system initiated a reform initiative when the government commissioned the RAND Corporation to examine the nation's K-12 education system and to consider radical and innovative solutions when recommending options for building a world-class system that would meet the country's changing needs. The result was a wide-ranging critique of the public system.

4. By the 2010-2011 academic session, all 188 government schools had been replaced by independent schools and new curriculum standards in Arabic, English, math and science had been implemented throughout.

### 5. Trends in Science Enrollment in Secondary Schools

6. In Qatar, secondary school students are registered in one of two academic streams: Science or Arts & Humanities. Figure 1 (adapted from Qatar Ministry of Education, 2009) describes the numbers of students registered in the 12th grade during the years 1991-2007 distributed between science and art streams. As shown in the figure, enrollment in science sections in secondary schools increased steadily for five years before starting to decline in 1995.

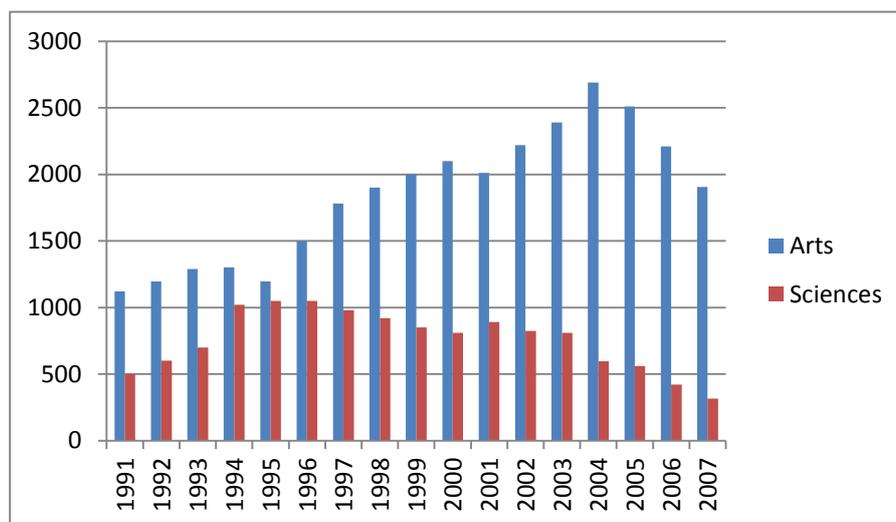


Figure 1: Grade 12 science and art enrolments in Qatar (1991-2007).

Independent secondary schools now require students to enroll in three advanced level subjects along with three others at foundation level. Although exact figures are not available, on the numbers enrolled in each subject, teachers at the different schools visited estimated that less than 20% are interested to opt into advanced mathematics or science subjects.

### Trends in Enrollment in Mathematics and Science Programs at Qatar University

Figures 2 and 3 represent Qatar University's enrollment trends over more than a decade. (Qatar University, 2008, 2009, 2012). The figures reveal a decline in enrolment in all science and mathematics programs ranging from a decrease of 77% for biology to a decrease of 100% for physics, whereas the number of students enrolled in economics and finance at the university has increased 478% over the past decade. This has led to the suspension of enrollment in some science programs (Qatar University, 2008, 2009, 2012).

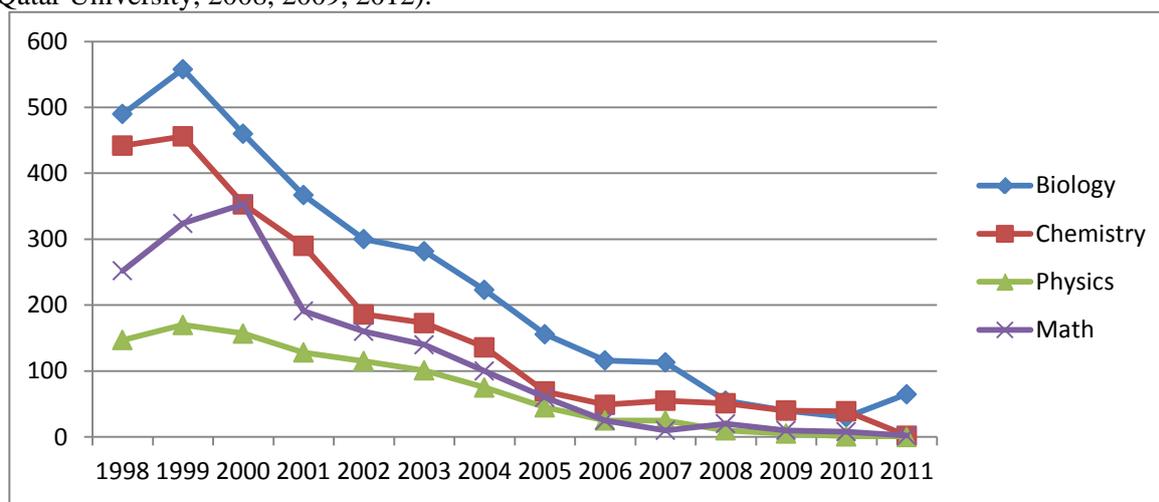
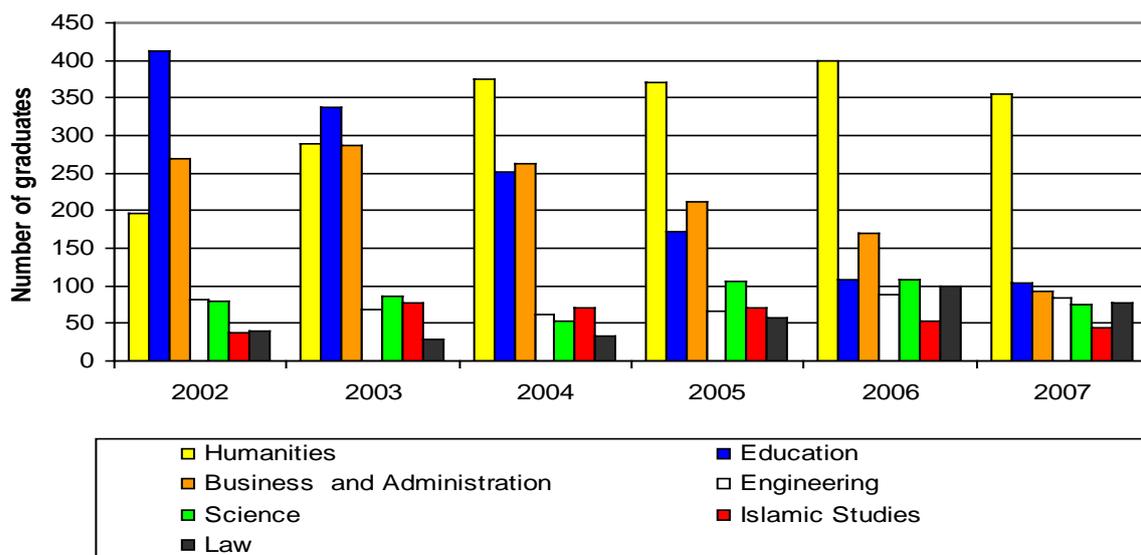


Figure 2: Enrolment in science and math programs at Qatar University (1998-2011).

Figure 3 compares the number of Qatari graduates from the faculty of science with the number of graduates from other faculties over the period 2002-2007. Over the six years, there were 505 science graduates, constituting 7.6% of the total graduates.



*Figure 3: Qatari graduates from different faculties of Qatar University (2002-2007). Adapted from (Qatar Statistics Authority publications on education, 2009, Table 26).*

### Mathematics and Science Opportunities and Incentives Available to Qatari Youth

In the last fifteen years the state of Qatar has made substantial investments preparing its students to compete and succeed in the twenty-first century economy. Although this success depends largely on advanced knowledge in the STEM disciplines, there is still a growing gap between graduate readiness and the requirements and expectations of industry (General Secretariat of Development Planning, GSDP 2012, p.52). This may suggest that educational institutes are not producing enough potential workers who are educated in the STEM disciplines.

Current opportunities and incentives during the K-12 education stages in Qatar include:

1. Free education in modern schools with good facilities (e.g. laboratories and advanced technology, including ICT and other learning tools), high modern standard curricula, low student / teacher ratio, etc.
2. Incentives for college and university graduates to enter STEM discipline workplaces, including attractive salaries and allowances, opportunities of professional development, work advancement, further education, interest-free loans for marriage and house building, life security, etc.

Qatar Foundation (QF) funds and supports innovative research and requires qualified researchers to carry out its mandate and manage projects. In 2010 the research division of QF initiated the Qatar Science Leadership Program, a research, administrative and scientific initiative that aims to build the human capacity needed to make Qatar a leader in innovative research, designed for Qatari “willing to discover and develop their potential in diverse scientific and research environments” (Qatar Foundation Research Division, 2010). Table 1 demonstrates the anticipated required human resources needed to carry out scientific research in Qatar over the next two decades.

Table 1  
*Expected Human Resources Required by Research Establishments at Qatar Foundation for 2010-2025. Number required by field.*

Position	Natural Sciences	Mathematics/ Computing	Engineering	Bio medical
Research Assistants	30	3	5	15
Senior Researchers	0	5	20	30
Other*	0	5	-	70
Totals	30	1	75	25
				115

\*Includes lab technicians and administrators

Source: *Qatar Foundation Research Division (private communications)*

### Tracking Reasons for the Decline in Interest in Mathematics and Science

As part of a pilot study on Qatari students' interest and attitude toward science study, 62 science teachers responded to a question asking them to indicate the extent to which factors listed in table-2 below) contributed to the decline of students' interest in science. Most teachers selected the nature and length of the curriculum, while others selected the language factor, lack of incentives, and low level of practical activities as major factors. The responses of teachers are presented in Table 2 and full analysis will be presented in a subsequent publication after the study has been extended to include a larger sample.

Table 2

*Results of Science Teachers Questionnaire (n=62) (5 is the strongest reason and 1 is the least)*

Contributing factor	Mean
Lack of incentives for learning	.44
The lack of practical activities	.23
The low participation in extracurricular activities	.07
The traditional learning based on rote memorization	.06
The nature of the curriculum	.90
The assessment and evaluation system	.84
The language of instruction	.81
Lack of parental and family intervention	.71
Shortage of resources	.66
Lack of self-efficacy	.52
The traditional methods of instruction	.48
The amount and nature of homework	.46
Lack of use (or misuse of) technology	.13
Lack of teachers' professional training	.13
Negative perception of related careers	.95
The classroom environment	.89

The first Human Development Report for the state of Qatar (General Secretariat of Development Planning, 2006) attributed the shortage in science graduates mainly to the nature of curriculum and instructional teaching methods of science subjects at schools. For example, most textbook questions are designed to measure students' basic knowledge; similarly, examinations also focus on basic knowledge. Therefore, neither textbooks nor exams measure students' skills and

capabilities nor do they distinguish amongst differing levels of learning. The content of the textbook is presented in a manner that does not contribute to developing skills of critical thinking, discussion and dialogue. The report further noted that there is an absence of question banks with assessment models that are aligned with scientific standards to guide them.

The above modality of teaching that relies on chalk and talk with the textbook as the major resource is still the dominant strategy. The difference now is the choice, by schools, of textbook from titles recommended by the Curriculum Standards Bureau of the Supreme Education Council. Results of the School Science Teaching Inventory Questionnaire (SSTIQ), which involved 24 independent schools, show that almost all schools and teachers consider the textbook as the source of nearly 90% of all knowledge and learning with some support coming from technology based-resources. The summary is shown in Table 3.

Table 3

*Schools' Dependence on Major Strategies in Teaching Science (n=24) (5 is the most dominant strategy and 1 is the least)*

Strategy of teaching	Mean	N
Textbooks	.8	4
Presentations and use of ICT	.8	3
Cooperative Learning	.8	2
Problem-based Learning	.6	2
Inquiry-based Learning	.6	2

However, few schools have introduced more advanced strategies such as inquiry based learning and problem based learning although not as major strategies as shown from Table 3 above.

Most interviewed teachers complained that students do not take practical sessions seriously, because they (students) know there are no significant marks counted on practical. Asked why they don't assess practical if the curriculum standards recommend these assessments? Their answers were mainly because they are overloaded and schedules do not permit the conduct of long experiments.

One teacher from a preparatory school said:

*"I have nearly 100 students to teach from grades 7 to 9, how can I conduct experiments, weekly or even bi-weekly, without a teaching assistant to help in marking, and without a trained lab technician? We have one lab technician who is not sufficiently trained, in a school of 650 students, we have also a long curriculum to cover".*

One chemistry teacher in a girl secondary school said:

*"we demonstrate most experiments to students with no assessment or reports required because the curriculum is long, we find no interest from students to perform experiments, the comprehensive national exam do not test practical skills"*

A physics teacher in another secondary school that has been converted recently to independent school, added :

*“ Although we deliver most physics lessons in the lab, we are not provided with a manual for experiments, teachers need more training on delivering lab experiments, schedule is very tight, curriculum is very long, students show little interest with majority depend on memorizing rather than inquiry; and therefore they face difficulty in understanding scientific concepts even when they run experiments. For these reasons we prefer to use the time to cover as much as we can from the curriculum, instead we give them more theoretical exercise, I only demonstrate for them four or five short experiments in the whole year, and mostly by simulation and showing them the equipment”.*

A teacher from boys secondary school teaching grades 11 and 12 said *“It is good if it does not affect completing the long syllabus, I really want to focus on the theory part because this is the test that counts, I suggest that SEC should include testing practical skills or at least adding written questions on practical part”*

A secondary school biology teacher with several years experience in secondary school teaching in Qatar, and recently becomes a coordinator of science at a primary school attributed the little emphases on practical to several factors; she said *“ the labs lack of several essential materials and instruments, lab technicians are untrained, time slot is not adequate, in Biology it is possible to run some experiments but most chemistry experiments need extended time which is not possible because of the crowded schedule, there is no emphasis on assessment of practical and no marks are counted in the final SEC comprehensive test, therefore teachers do not place emphasis on practical, and students become unaware of its significance”.* However, she attributed the disengagement at the primary level to other reasons in addition to the mentioned above *“ we have about 600 students, all take general science, we have one technician only for the whole school with no teaching assistants, these children need careful supervision especially during performance of lab activities for safety consideration , also several materials are not available, and schools forbid teachers from asking students to bring certain materials essential for activities such as food items or tools. In my opinion, students should be asked to bring from home certain materials, this will make students feel more responsible and encourage parents to follow up with them “*

### **Introducing new Strategies through Research**

There is now a growing scientific research community in Qatar motivated by the successful launch of several scientific research initiatives during the last few years by Qatar National Research Fund (QNRF). These initiatives involve researchers from inside Qatar, as well as outside (Qatar Foundation, 2010). In addition, students from different levels are involved in different projects. Recently QNRF launched the Secondary School Research Experience Program (SSREP). According to recent data published by the Qatar National Research Fund (2011), the majority of projects submitted by schools are natural science projects.

This program is one among several, including the Undergraduate Research Experience Program (UREP), that contribute to improving education through research. SSREP aims to engage all students in secondary schools in Qatar (independent and private), under the mentorship of their teachers and/or subject coordinators, in undertaking projects that are directly derived from the curriculum standards that are accredited by the Supreme Education Council (SEC). SSREP will promote the tools of “Learning by Doing” and “Hands-On” research activities as effective methods in the secondary school education program. Students will gain their initial experience in implementing a modest research project to enhance their capabilities to carry out further university research projects.

The program is likely to enhance productive collaboration between teachers and students, and will help facilitate awareness of the research culture in Qatar. It will provide students with the opportunity to gain experience in problem-solving projects; develop scientific enquiry skills and work independently; understand research methods and introduce the idea of research as a career; network with school members beyond the classroom, and possibly worldwide; and interact with local industry and medical institutions.

### **Impacts of Reform to Date**

#### **Results of PISA 2006 and 2009**

Nearly 10,500 fifteen-year-old students from 135 schools in Qatar participated in PISA 2009. Various types of schools were represented, including independent schools, Ministry of Education

schools, international schools, private schools, Arabic schools, and community schools. Qatar was one of 65 countries participating in PISA 2009 (Supreme Education Council, 2009). Comparison of the PISA 2006 and 2009 results will allow Qatar to externally validate the impact of its educational reform efforts. Results were published in December 2010 (OECD, 2010). Table 4 details the average results of Qatari students' performance compared with performances of students from selected countries (average score of OECD countries is 490-500).

Table 4  
*Comparative Performance of Students in PISA 2006 and 2009 (OECD2007 and 2010)*

Country	2006			2009		
	Reading	Science	Math	Reading	Science	Math
Taiwan	96	32	549	100	20	43
Shanghai	--	--	--	39	*575	*600
Finland	47	*563	48	35	54	41
S. Korea	*556	22	47	*542	38	46
Canada	527	34	27	27	29	27
Slovenia	494	19	04	76	12	01
UK	495	15	09	06	02	92
(Dubai) UAE	--	--	--	60	66	53
Turkey	47	24	24	61	54	45
Chile	42	38	11	44	47	21
Jordan	01	22	84	87	15	87
Tunisia	80	86	65	93	01	71
Qatar	12	349	18	61	79	68
Kyrgyzstan	**285	**322	**311	*293	*330	*331

\* Represents the country with the highest average score

\*\* Country with the lowest score

--- Country did not participate in 2006

Current results are also compared with results from PISA 2006. The table shows that while Qatari students are still at the bottom of the list, there is a significant improvement from the 2006 performance. For example, average scores for both reading and mathematics increased by 16% and science scores increased by 9%. In fact, the increases in percentages compared to 2006 results are the highest among most countries that demonstrated progress in their performance. However, despite of this progress and the clear improvement, the scores and rank are still not up to expectation.

### Results of TIMMS 2007 and 2011

Recent published results of TIMMS 2011 (published December 2012), have shown better achievement than the above PISA results when compared with the results of the previous TIMMS cycle of 2007. Again Qatari students have achieved more significant progress. Table 5 below compares Qatari students' average scores, with others from selected countries for both grades 4 and 8 in mathematics and science at the two tests. The results are arranged in descending order according to 2007 results. Table – 6 summarizes the progress achieved by students from Qatari schools.

Table 5

Summary of TIMMS 2007 and 2011 results for Qatari students compared to some selected countries and Jurisdictions

#### Mathematics

Country	<u>Grade 4</u>		<u>Grade 8</u>		
	Average Score*		Average Score*		
	2007	2011	2007	2011	
Singapore	599	606	Singapore	593	617
Hungary	510	515	Hungary	517	505
Sweden	503	504	Sweden	491	484
Dubai, UAE	444	468	Dubai, UAE	461	478
UAE	---	434	UAE	---	456
			Lebanon	449	449
			Jordan	427	406
			Tunisia	420	425
Saudi Arabia	---	410	Bahrain	398	---
			Syria	395	380
			Egypt	391	---
Algeria	378	---	Oman	372	366
Kuwait	316	342	Kuwait	354	---
			Saudi Arabia	329	394
Tunisia	318	359	<b>Qatar</b>	<b>307</b>	<b>410</b>
Morocco	297	335	Algeria	387	---
			Morocco	381	371
<b>Qatar</b>	<b>296</b>	<b>413</b>	Ghana	---	331
Yemen	224	248			

#### Science

\*TIMMS Scale average is 500 in 2007 and 475 in 2011

Country	<u>Grade 4</u>		<u>Grade 8</u>		
	Average Score*		Average Score*		
	2007	2011	2007	2011	
Singapore	587	583	Singapore	567	590
Hungary	536	534	Hungary	---	522
			Sweden	511	509

Dubai, UAE	460	461	Dubai, UAE	489	485
Bahrain	---	449			
Saudi Arabia	---	429			
UAE	---	428			
Algeria	354	---	Jordan	482	449
Kuwait	348	347	Bahrain	467	452
Tunisia	318	346	Saudi Arabia	403	436
Morocco	297	264	Tunisia	445	439
			Syria	452	426
<b>Qatar</b>	<b>294</b>	<b>394</b>	Oman	423	420
Yemen	197	209	Kuwait	418	---
			<b>Qatar</b>	<b>319</b>	<b>419</b>
			Lebanon	414	406
			Egypt	408	---
			Algeria	408	---
			Morocco	402	376
			Ghana	303	306

\* TIMMS Average Score (475 in 2007 and 500 in 2011)

--- country did not participate

Sources of data: 2007 results from : Institute of Education Sciences (2008);

2011 results from : International Association for the Evaluation of Educational Achievement, IEA (2012) and National Centre for Education Statistics. (2012)

Although the 2011 results show that Qatar is still below the average bench mark scale, the achieved progress is very significant. Table 6 below shows the extent of this progress

**Table 6**

*Progress Achieved by Qatari students in TIMMS 2011 compared with TIMMS 2007 results*

Subject	Grade	Increase in average points	% increase over 2007 results
Mathematics	4	117	39.5
	8	103	25.1
Science	4	100	34.0
	8	100	31.3

These results indicate that efforts on reform have started to pay back; reform is a slow progress but the benefits are obvious.

### Discussion

Most independent academic research on improving learning tends to focus on the impact of one factor, such as the influence of attitude or curriculum on the choice of students to pursue science at tertiary education. This undermines the importance of cumulative effects and interrelationships between separate, but, equally important factors. As Roberts (2002) wrote, “tackling any one aspect whilst neglecting others is unlikely to deliver a strong overall improvement” (p. 50). On the other hand, these strongly interrelated factors will complicate any possible improvement in one aspect by individual educators or schools.

These assertions are supported by this research. Of the 48 teachers who were interviewed during the conduct of the SSTIQ, 30 considered the nature and length of the curriculum as the main reason for the decline in students interest to study science, while 40 out of 62 teachers who responded to the questionnaire consider the difficulty of the curriculum as the primary reason, and 15 consider it as a secondary reason with a mean of 3.90 (see Table 2). The extensive and long curriculum forces teachers to put reduced emphasis on practical work, critical thinking, and inquiry based activities. Students have to write exams that cover all topics found in the curriculum, while assessment of the practical aspects are not required, despite a recommendation that inquiry based skills account for nearly 25-35% of weighted assessments (SEC Evaluation Institute, 2005). As a result of this assessment breakdown, teachers rarely use the laboratory, and if they do, they either demonstrate the experiments recommended by the curriculum or present simulated experiments. Despite the reasonably well equipped laboratories at schools, students are not given many opportunities for hands-on interaction with equipment and materials. It is clear that any change in how teachers approach testing and curriculum, requires a major shift in the overall pedagogical approach. Nonetheless, individual efforts can make positive, although limited, contributions to improvement.

An important factor that needs to be addressed is the quality and practices of the teachers in the classroom. Widely accepted research now indicates that these are perhaps the most important factors in increasing student learning. Research shows that a child who is being effectively taught mathematics and science by teachers who have the knowledge and skills needed to teach is more likely (the child) to be able to close achievement gaps and succeed in work and life (National Science Board, 2001). Many unsuccessful reform efforts in different countries have failed because these efforts did not fully consider teachers' existing knowledge, beliefs, and attitudes (van Driel, Beijaard & Verloop, 2001). Research also suggests that teachers are not only instructors but also motivators (den Brok, Brekelmans & Wubbles, 2004; Elton, 1996).

Most schools in Qatar are concerned with this issue because many face a serious shortage of qualified teachers, especially male teachers. This shortage is a natural consequence of the non-existence of a mathematics and science education system at the tertiary level in Qatar. Many Qatari teachers have limited English fluency and, therefore, have difficulty teaching in English. Science and math teachers are mainly Arab expatriates, although there are some Qatari teachers (mainly females) and a few non-Arab expatriates.

The language factor has been identified by teachers as a key factor behind students' disengagement and declining interest (Table 2). Teachers explained that students' poor language restricts and affects delivery of the whole curriculum. It is true that teaching science and mathematics involves a range of communication methods – such as visual representation, diagrams, tables, charts, models, graphs, practical work, mathematical symbols, etc. – but these modes complement each other.

Qatari students with modest English language skills may find themselves at a disadvantage when curricula require all students to study science and mathematics in English at their preparatory and secondary level, even students who have received minimal instruction in English. This sudden shift has confused students and teachers alike. Grades 10 and 11 students of MOE secondary schools that were changed to independent schools are required to study science and mathematics in English if they want to stay in their schools. As more schools are transformed over the years, fewer options are left and most students have to integrate within the new system. The same policy is applied to preparatory and primary school, although the impact is less noticeable. Standardized tests, by nature, place great emphasis on language skills and therefore teachers have to spend ample time on the language component of the subject. Of the 62 teachers surveyed, 41 (mostly secondary and preparatory schools teachers) consider the language factor as a major factor in declining interest and achievement and six consider it as a secondary reason. Only 15 (mostly primary school teachers) think it is not important (see Table 3).

In practice, total immersion in English language may be considered a best fit for students with good language skills, but for learners with low language proficiencies, as is the case for Qatari students, the use of Arabic as a supporting language would be a mitigating factor for science literacy to occur. This notion of dual language would support bilingual models of instruction that favor two-way instruction or the transitional bilingual model. Cummins (1999) suggests that a lack of understanding of the processes of academic language acquisition would be a failing of the institution

as a whole, creating greater academic difficulties for the learner. Very recently, SEC has decided for the first time to allow students taking the QCEA test to choose their preferred language (Arabic or English) for science and math sections (Supreme Education Council, 2012).

### **Conclusion:**

Despite the substantial progress witnessed in most aspects of education in Qatar, and the introduction of a radical reform that started in 2003 upon the launch of the initiative “education for new era”, there has been a significant decline in the number of students studying mathematics and science at both secondary and tertiary levels over the past 15 years. This has led to a serious shortage of trained STEM graduates able to fill employment vacancies.

Declining interest in mathematics and science subjects at schools and colleges in Qatar is attributed to a combination of several interrelated factors, namely the lack of the availability of qualified teachers, the complexity associated with introducing English language as a medium of instruction without adequate preparation, the traditional methods of instruction and assessment, the lack of knowledge and understanding of the importance of mathematics and science to everyday life, and the negatively stereotyped image of scientists among the public. Other factors include the lack of media focus on scientific activities, the lack of a framework for practical activities aligned with curriculum standards, weak student counseling and career services, the absence of science centers and museums, and the lack of strong ties between schools and professional workplace and research centers. Each of these factors has contributed to reinforcing negative attitudes towards studying STEM subjects at schools and colleges.

However, plans to establish a world class education system are being gradually implemented. In order for Qatar to achieve the ambitious 2030 vision of building a knowledge-based economy, education authorities realize that the education system may be falling short in supplying enough qualified graduates in the STEM disciplines because of the weak mathematics and science education system. To face this challenge, the education authorities should set out a new policy aimed at tackling diminishing interest in science and mathematics by inspiring students and increasing their passion for these subjects.

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## THE MATHEMATICS IN MOROCCAN UNIVERSITIES

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### Abstract:

This work deals with the teaching and learning of mathematics in Moroccan universities. Our goal is to better understand difficulties encountered by students, with math, and to study in which measure the integration of new technologies of information and communication may help them overcome these difficulties, by favoring interactions between representation by ICT and classical representation of the concerned course. On the basis of the instrumental approach of computers in teaching, we start from the hypothesis that succeeding to this type of mathematical tasks requires, beyond knowing adequate commands and their syntax, learning specific instrumented techniques, in a context taken in charge by the institution. In our thesis, a technique to represent called 3D technology occupies a central part, as a means to reduce the distance between the knowledge teachable and the knowledge to be taught. The work includes an institutional analysis (ecological analysis of university curriculum) about the teaching of mathematics and the use of 3D technology, as well as two experiments, without and with the other.

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**Key Words:** Mathematics, Information Technology and Communication ICT, 3D technology

### Introduction

Our interest in this work is part of our experience as a student at the “University Abdelmalek Essaadi, Faculty of Tetouan” Morocco. Indeed, in our discussions with both teachers and students, we have made the empirical observation of many difficulties of teaching and learning mathematics. These difficulties affect first the students, who are struggling to capture mathematical concepts given to them and especially to visualize it in space. In addition, teachers are often helpless faced with these difficulties and obstacles of their students and do not see too how to act. The intention to solve these problems is the idea of integrating the new technologies of information and communication in education.

Here, for example, an excerpt from an interview we had with Mr. Benslimane, professor of mathematics at the Faculty of Tetouan, which pretty much sums up, in our view, the difficulties encountered:

*“Even if the student knows the theory, how can he manipulate it to solve more complex problems. He needs to know how the base past the abstract to the concrete. Much will depend on the viewing space of mathematical objects. This passage is very complicated, either the student has a visualization of the problem, or is very difficult to do. In general, the student should have this ability. But unfortunately it did not, because currently teaching mathematics does not follow a certain pedagogy. So there is this difficulty”*

It seems that many points mentioned in this quotation require clarification or comments. For example, when the teacher talks about the transition from the abstract to the concrete, this phase of work is based primarily on a "view space", he stresses that this is the point that raises the most difficulties for students. What is "viewing space"? Does it appeal only theoretical tools? If yes, which ones?

*In fact, the teacher speaks of "visualization of the problem" and "vision in space." The two expressions do they cover all the same (or more) didactic reality (s)? Which one? Putting themselves in the mathematical corpus commonly called Analytic Geometry of Space (AGS) is it the ability to relate reality (the theory) and imagination? And more generally it is constantly able to make interpretations in the space of mathematical objects involved? This "ability" is it just a gift to "see" in space? Or correspond to knowledge and know-how to identify it is better to control it?*

Answering these questions requires of course looking further into the study of mathematics degree program to better identify mathematics gaps involved and the roles of theory and interpretation in space.

At another point in the interview we had with Mr. Benslimane, he attributed that using the new technologies of information and communication can facilitated the transition from the abstract to the concrete in mathematics. This point deserves our attention. What ICT can bring to the teaching of mathematics, how can we integrate them effectively in this teaching, teaching in what way?

According to Y. Chevallard:

*"An object (eg, a mathematical object) is an emerging system of practices which are handled material objects that are cut in different semiotic registers: register oral, spoken words or phrases, register sign language field scription of, what is written or drawn (graphics, formalisms, calculation, etc..), that is to say, register writes. (1991, page 110)."*

Our own teaching experience has led us to hypothesize that technological tools, including ICT, may be denied assistance in mathematics education, reducing the distance between the knowledge teachable and the knowledge to be taught.

In addition, several education institutions today introduced software to try to better manage mathematical objects that pose difficulties for students. For example, the Maple software, which helps calculate multiple integrals.

In the light of the first questions we already tightened our object of study by focusing on:

***The transition from the abstract to the concrete in mathematics using new information technologies and communication. More specifically, the 3D technology.***

This study motivated by the acknowledged difficulties of students and teachers is also justified by the need to assess the various initiatives implemented in recent years in Morocco and supported by the Ministry of National Education of Morocco.

### **Theoretical framework**

We will build on approaches to the representation of mathematical objects. We will thus refer to the concept of registers of semiotic representation introduced by Duval in teaching (1993). This approach seems interesting because it will allow us to decontextualized and contextualized mathematical object. However, this approach alone is not sufficient to effectively study the issues that arise in the context of our research, since the institutional dimension is essential. We find, in this regard, support in the anthropological approach to teaching (TAD) developed by Chevallard (1999). Based on the use of ICT, our theoretical foundations will finally allow us to take into account the instrumental dimension of learning media environments. In this way, we build on the work of researchers in cognitive ergonomics, learning about the use of technological tools and in particular, the theory proposed by Verillon instrumentation & Rabardel (1995). We conclude with the presentation of the research questions we ask in the context of these frameworks and methodological and theoretical choices that we made.

### **The theory of instrumentation**

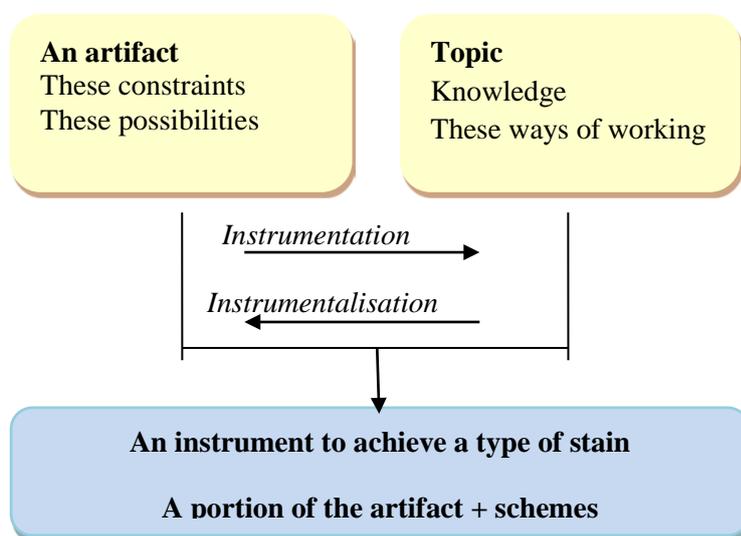
To better understand the role of ICT in the teaching of mathematics, we use the theory of instrumentation. This theory, following the work in cognitive ergonomics concerns the use of learning technologies. We refer in particular to the theoretical framework developed by Rabardel (1995). In recent years, many educational researchers have focused their attention on this theoretical perspective: Guin & Trouche (1999), Artigue (1997), Artigue (2002), Lagrange (2000), Guin & Trouche & Ruthven (2005 ) Haspekian (2005), BuenoRavel & Gueudet (2009), Drijvers (2000), Trouche (2000) ... etc

This emphasizes that:

*“Recent works in cognitive ergonomics provide theoretical tools for understanding the process of ownership calculator’s complex. Rabardel (1995), with regard to education in general and education in particular, offers a new approach, which essentially distinguishes technical tool (artifact), which is given to the subject, and instrument, which is constructed by the subject. The construction or instrumental genesis is a complex process due to the characteristics of the artifact (its potential and its limitations), and the activity of the subject, knowledge and work habits earlier (Op. cit. 195).”*

The instrument is not "given", it was built by the subject during a process of instrumental genesis. In this sense, Drijvers emphasizes that:

*“The starting point of the theory is the idea that instrumentation tool is not automatically an effective and practical. A hammer, for example, an object is meaningless, except that when you have something to pound, it is transformed into a useful tool. This idea also applies to other objects, or computer software. The learning process in which an artifact is gradually becoming an instrument is called instrumental genesis. The user must develop skills to first recognize the tasks for which the instrument is suitable for and then perform in the environment of the instrument (Op. cit. 218).”*



Instrumental genesis (Trouche, 2004)

The integration of technology in mathematical activity led to the construction of patterns of use, more responsive and less and less effective. According Rabardel schemata are multifunctional. Brought into play in specific situations, they help to:

- Understanding them (their epistemic function)*
- Acting, transform, solve (this is their pragmatic function)*
- Organize and control the action (this is their heuristic function)*

It will be important for our work to characterize specific practices in mathematics education, and the use of 3D technology in the institution (University Abdelmalek Essaadi, Faculty of Sciences). We find support in the anthropological approach to teaching developed by Chevallard (1992) that we present below.

*“The anthropological approach helps us think about the technical and instrumental dimension of mathematical work, which in didactic analyzes is often left in the background in favor of more conceptual analysis. (Ibid., p. 9).”*

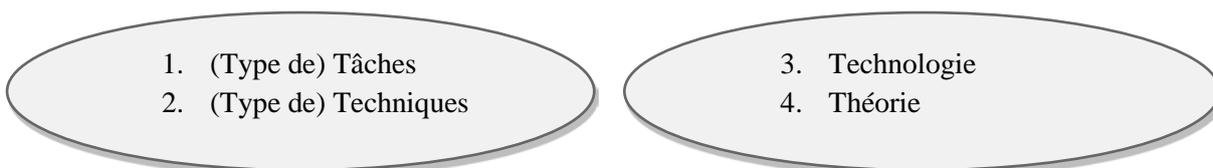
### The anthropological didactic approach

The approach developed by Chevallard (1992) is an extension of the theory of didactic transposition. It considers mathematical objects, not as existing in itself, but as entities that emerge from practices in systems and institutions. These systems are praxeologies or described in terms of tasks in which the object is invested technologies can solve them, and through which discourse is used to explain and justify the technology. These can be viewed from the instrumental point of view (as explained Lagrange (2000, p. 169)).

According Chevallard, science education, like all teaching, is in the field of social anthropology, that is to say, the study of man. Similarly there exists a religious anthropology or political anthropology, whose objects of study are respectively the religious or political Chevallard (1992) proposes to develop a didactic anthropology whose object of study is the learning to study, for example, the student with the problem mathematically.

As emphasized Chevallard mathematical knowledge as a special form of knowledge is the result of human action institution: it is something that occurs, is used, taught, or more generally, transposes institutions.

Chevallard proposes the notion of organization or praxeological praxeology (as the key concept) to examine institutional practices relating to an object of knowledge and in particular social practices in mathematics. He proposes to distinguish praxeologies that can be built in a class where we study this subject, analyzing how can build the study of this object, and allow the description and study conditions achievement. The praxeologies are described in terms of:



### The notion of semiotic register of representation

In mathematics, the objects are only accessible through their representations. By Duval (1993):

*“There is a paradox cognitive mathematical thinking: on the one hand, the understanding of mathematical objects can only be a conceptual understanding and, secondly, it is only by means of a semiotic representations activity of mathematical objects is possible. This paradox can be a real learning circle. (Op. cit. 38).”*

*Semiotic representation* is a representation constructed from the mobilization of a system of signs. Its meaning is determined partly by the form in the semiotic system, on the other hand, the reference to the object represented. Geometric figures, a statement in language, an algebraic formula, a graph, are semiotic representations that are different semiotic systems. Treatments mathematical objects depend therefore opportunities representations themselves.

Duval (1995) explains the concept of semiotic register of representation as follows:

*“Semiotic systems are capable of performing the three cognitive activities inherent in any representation. First, create a trace or sets perceptible traces that are identifiable as a representation of something in a given system. Then transform representations only by rules specific to the system in order to obtain other representations may constitute a relationship of knowledge in relation to the initial representations. Finally, convert the representations produced in a system of representation of another system, so that they allow explaining other meanings for what is represented. All semiotic systems do not allow these three fundamental cognitive activities ... But natural languages, symbolic languages, graphs, geometric figures, etc. The permit. We speak then register semiotic representation. (Op. cit. 20).”*

Duval thus distinguishes three cognitive activities related registers of semiotic representation:

□ *The formation of a semiotic representation- using a (several) sign (s) to update or replace the target object. It is based on the application of compliance rules <sup>1</sup> and the selection of a number of characters from the content preview. For example: composition of a text, drawing a geometric figure, drawing a diagram, writes a formula.*

□ *Treatment of representation- is the transformation of the representation in the registry even when it was formed. Treatment is an internal transformation to a register. For example, the calculation is a form of symbolic writing specific processing (numerical, algebraic calculus, integral calculus ...).*

□ *The conversion of representation - is the transformation of this representation to a representation of another register. For example: Translation is the conversion of a linguistic representation in a given language in a linguistic representation of another language.*

The translation should not be confused with two activities, however, are nearby coding and interpretation. Interpretation requires a change of framework or context. This change does not involve a registry change but often mobilizes analogies.

"Coding" is the "transcription" of a representation in another semiotic system that it is given.

The conversion is therefore of particular importance. However, it is generally neglected in the teaching of mathematics, while, as noted Duval one of the essential conditions for the conceptual understanding of mathematical objects is available for the same purpose, several semiotic representations. The choice of an appropriate register of representation can facilitate processing (transformations of representations within a register).

### Research Questions

As we already mentioned, our research focuses on the teaching and learning of mathematics in higher education and in particular to reduce the cognitive effort of mathematics. We will study the "object of knowledge", the tasks proposed to students, available technologies to solve their justifications and technological-theoretical depend on a set of data relating to the institution in which teaching takes place. In addition, analysis of the ecology of a mathematical object in an institution understands its meaning for this institution is to identify the organization mathematical object is in. Thus, we propose to study, in the context the TAD, the mathematical organization. This study should allow us to answer the first research question:

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<sup>1</sup>. Rules to be observed in the formation of a semiotic representation, such as grammar for natural language training rules in a formal system design constraints for the figures ... The formation of these rules is to ensure, first, the conditions of identification and recognition of the representation and, second, the possibility of their use for treatment. (Duval, 1993, p. 41).

**Q1.** What is the mathematical organization in Moroccan universities?

Praxeological concepts of organization and reporting institutional offer, from an ecological study of the academic program, the tools to find answers to such questions. This question must be supplemented by other, more in relation to ICT (and more specifically 3D technology). Indeed, the academic program introduces the use of ICT in teaching and contemporary in particular 3D technology. As Lagrange points (2000, p.41)

*“For techniques [instrumented] are meaningful, it should build praxeologies in which these techniques could be inserted and take a mathematical meaning.”*

Take into account the role of ICTs, including 3D technology in the university raises the following questions:

**Q2.** What is the academic report instrument to 3D technology at this university?

**Q3.** What constraints they impose the university, what conditions do they provide to the teaching of mathematics with 3D?

Analysis of 3D technology will allow us to better understand how this tool can reduce the cognitive effort of mathematics. We will try to press the three frames with the ostensive aspects and non-ostensive mathematical objects, their semiotics, and the instrumental aspects around these objects play important roles. This study will allow us also to identify potentialities, constraints on the actions and changes desired by the user 3D mathematical objects. To the analysis of these constraints, we will take into account the type considered by Trouche (2000). The following questions arise in the context of cognitive instruments:

**Q4.** What tools are available in the environment publicized 3D technology on: analytic geometry in space (GAE) <sup>2</sup>?

**Q5.** How through the use of these tools are changed techniques solving certain tasks?

### Conclusion

Our work is the first investigation in a virgin field of education research. Level of education, very specific mathematical content and the use of 3D technology are all factors that have asked us to be innovative. It is a first draft that can be used especially for teachers Moroccans. We hope to have shown to accurately and varied work needed on the development of technology to reduce the distance between scholarly knowledge and expertise teachable. Our experiments show the potential of this technology. It will also show that you cannot just rely on this technology and process instrumentation must include the issue of transition from the abstract to the concrete in a more global manner by using certainly more explicit knowledge students.

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<sup>2</sup>. Both on the analytical representation and graphics or by functions of two variables, either by parametric equations.

## THE MEANING OF THE BEAUTIFUL BODY IN GRAHAM SWIFT'S FICTIONAL WORLD

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### Abstract:

As Bachelard, Lefebvre, Michel de Certeau, Bourdieu and others have contended, by the production of space and by relating to it in the world, the individual is constructing her/his identity. Spatial interaction builds who one is, and, if we consider the fact that the body is the closest “space” or circumscribed reality one has to symbolically produce, deal and come to terms with, the way people relate to their bodies may say a lot about their conception of self in the world, self image, and therefore identity and identity construction and presentation before the others. The body is also indispensable for inhabitation and dwelling in an environment. As the tool used to shape one’s surroundings, it is involved not only in the physical mapping of the world, but also in what has come to be called its symbolical, conceptual or “cognitive mapping” (Shields 2002: 265) which refers to how space reflects mentalities, practices and emotions. The interest in the body is all the more poignant against the background of twentieth-century events and consumerism, an aspect that is tackled in the introduction of the paper. This part also delineates the direction of this study, namely the manner in which Swift’s characters (ab)use their bodies in various ways, which is presented in the main part of our scrutiny. The approach is cultural studies. The conclusions draw on Arthur Frank’s work, the central idea being that the bodies we have analysed could be interpreted as plural and ambivalent.

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**Key Words:** Identity, Body, *Habitus*

### Introduction:

In this paper, our interest is the way in which characters in Graham Swift’s novelistic world relate to their bodies, as part of Bourdieu’s *habitus* (Bourdieu 1977) and of Lefebvre’s outlook that the production of space and interaction with it – which entail one’s body – are revelatory of identity (Lefebvre 2007). We concur with the idea that the body is the first “space” on which identity markers appear, such as the way the body is shaped, the choice of clothing, attitudes and mannerisms, etiquette etc. Our analysis is based on the logic that society and mentalities condition one’s perspective on one’s own body. In its turn, the individual reacts to the environment and shapes one’s appearance and reality.

We will start by looking at the reasons for the interest in the body in the twentieth century, at what is specific about the way people conceptualise their bodies in this particular time frame. The second half of the twentieth century was marked by major changes: the war and post-war periods, the consumerist culture, post-modern movements both in arts and mentalities (feminism, post colonialism), the menace of chemical weapons, massive destruction of nature and the habitat, the ageing of populations, overpopulation or “lack of space”, too much proxemics (but decrease in birth rate), pollution, AIDS (Turner 1995: 24). These factors led to an increasing attention to the body (*Ibidem*: 24), from two perspectives. On the one hand, realising its frailty, people took excessive care of the body, in an attempt to maintain health and prolong life expectancy (*Ibidem*: 19). On the other hand, they were interested in its beautification (*Ibidem*: 19).

The human body is paradoxically both frail and empowered in the age of technologisation. These aspects are so exacerbated in everyday life that the harmony of psychic life is menaced. The amount of pressure put on the individual by reality engenders more awareness of the body, and this awareness puts even more strain on the psyche. Turner calls this *angst* a “politics of anxiety” (*Ibidem*: 24), to highlight its urgency. In a dangerous and competitive world, people feared both literal and

figurative effacement. They were also afraid of loss of guidance, with the demise of “Christian puritanical orthodoxy” (*Ibidem*: 19), and of their inability to find a place.

Turner contends that the reduction of work hours per week meant a relaxation in “ascetic values” (*Ibidem*: 19) associated with work, which used to be considered a virtue. Attention granted to entertainment brought about a new type of asceticism, namely that of abstinence from food in the pursuit of beauty (Featherstone 1995). Asceticism was encouraged to the purpose of enjoyment, desirability, sensuousness, for the sake of image, self-esteem, and identity creation (Featherstone 1995: 183). Standards of exaggerated slimness for women appeared (*Ibidem*: 184). As various sociologists noted, the side effects were conditions such as anorexia, accompanied by changes in the perception of the self (Featherstone 1995 and Turner 2007).

Swift’s characters refuse givens, be they ideas, mindsets, manners of doing things, prescriptions about one’s role in the world etc. Their own body makes no exception. In this spirit, they cannot relate to it harmoniously. There is rejection involved, as well as discontent and negotiation. Consequently, the body will be both used, in building identity, and abused – subverted, excessively (dis)empowered.

For the sake of the propriety of terms, we need to understand what the term “abuse” denotes here. By “abuse” we mean: misuse, ill treatment, any type of damage, defilement, impairment, exploitation, offence, perversion, castigation, or censure applied to the body. Nevertheless, the terms use and abuse are hybrid. The use almost always implies an abuse, be it just in the form of an alteration of previous manners of usage, which is yet another meaning of the term “abuse”. Characters are often both users and abusers of their bodies simultaneously, symbolical executioners and victims.

### **The Dynamics of Interaction for Beautiful Bodies**

The beautiful body entails several types of use and abuse. Firstly, there is the (ab)use performed by the possessor over her or his own body: a beautiful physique implies sacrifices made to keep fit. The sacrifices range from easily done tasks of self-care, to more complex or even painful ones. Secondly, this care also presupposes being, to a greater or smaller extent, the slave of your body, a body that may, in this respect, be seen as symbolically performing an abuse of its possessor. At times, having an attractive body may feel like a burden, in various ways. For instance, beauty functions as a limitation – when the others fail to see the person behind it – and leads to objectification. It may also “invite” to abuse as severe and extreme as rape. Thirdly, a beautiful body can be capitalised upon as a figurative weapon. In *The Sweet-Shop Owner*, sassy Sandra is well-aware of her sex-appeal and uses it in order to extract undeserved advantages at her job, particularly from her employer, Will Chapman. Irene, Will’s wife, uses it as leverage, to hide the absence of love and to avoid real emotional commitment. The three situations above only set broad lines of analysis, as the cases are almost always complex and hybrid.

To her family, Irene is a “rare plant” (Swift 1993: 50), “a little emblem”, and a “banner”. She feels that it is her duty to “look [her] best” for them (*Ibidem*: 50). Her other duty is to keep her “purity” (*Ibidem*: 51) (the family laundry business being figurative of their obsession with immaculate appearances). When Irene tells her parents that she has been raped by Frank Hancock, they remain unimpressed, so she becomes repressed and asthmatic. Her family perceive the incident as a tragedy – not because they care for her, but because they lose their emblem, as Irene declares: the illness “spoilt my looks” (*Ibidem*: 53). As a consequence, she chooses to offer herself, and the beauty she has always felt as a burden, to Will Chapman. By giving away to a plain man what is desired by so many, Irene believes that she is both unjust and ironic, which somehow redeems what has been done to her. Even as a very young girl, she stood out among her friends, who had “thankful little marks of plainness [...] which relieved them of responsibility” (*Ibidem*: 50). Even then, she could not behave freely – “laugh out loud, giggle and squeal like them” (*Ibidem*: 50) – because her beauty came in disagreement with such manifestations, and required composure. The self-containment expected of Irene made people attach other labels to her as well. She was seen as conceited: “beautiful and proud” (*Ibidem*: 50). Will remembers that she always felt aggressed by too blatantly admiring glances, when she changed into her swimming suit, while they were away on holiday at the seaside (*Ibidem*: 118).

Consequently, Irene is abused by her own beauty in multiple ways. She feels punished for an asset that she has never wanted or enjoyed: “How you pay, Willy, even for the things you never own.”

(*Ibidem*: 53) Her looks are the cause of her rape and objectification. In her case, beauty bars self-expression, because of the responsibility Irene bears as a symbol for her family. In a sense, beauty prevents her parents, (and presumably other people as well), from truly loving and appreciating her; it sometimes is the only reason for being appreciated. Beauty brings about self-alienation. It is also an instrument of manipulation. Furthermore, it gives Irene a false identity – the label of being proud – representing therefore the foundation for further abuse.

Dorothy, (Irene's daughter), relates to her body in a different way. Will remembers how Dorry "stood apart" (*Ibidem*: 139) among her school friends as "the prettiest, the one who most deserved to be to the fore", just like her mother. Even as a child, she had a gravity that resembled Irene's. During a visit to her father's shop, little Dorothea frowned on his childish lack of dignity in arranging toys. Will remembers her "long, delicate hands", and her "black and glossy" (*Ibidem*: 117) hair, which she used to "toss" "from side to side" as a teenager. She had "that lightness and deftness of step" (*Ibidem*: 117), which showed her boldness, stubbornness, self-assuredness, and *penchant* to challenge the others. Will and Irene bought her beautiful dresses, but she always preferred "white school blouses and navy skirts or that shapeless brown sweater and slacks" (*Ibidem*: 148).

As a young woman, she shows the brashness of one who knows herself to be beautiful, but does not care about it, because it is an incontestable asset. Like her mother, she seems to be bothered by her beauty, but, unlike Irene, she refuses to be a victim of it. In this respect, Dorothea is stronger. She either disguises her appearance, or shows it in triumph, as if it were a trophy, but she is never its prisoner. Dorothy wants to be appreciated for her intelligence, so she rejects the normal life of her teenage friends, who waste their time going to parties. She is interested in war, history and politics instead. Driven by a belief in the existence of meaning, she is in quest of it, in opposition to all the other people around her, from both the older and younger generations. While Irene's relationship with her body is more similar to the second type of use and abuse of the beautiful body described above, Dorothea's bears similarities with the third.

In *Caribbean Dawn*, people who reside in the islands share a cult for physical appearance, which is linked with their life style, and with Caribbean identity. In an existence that lays great emphasis on entertainment and relaxation, physical beauty is common, and it appears as a must. People like to put themselves on display, to be admired for their pleasant physique and wealth, which are the ingredients of success. Count Giuseppi owns a luxurious motor yacht, and is always "immaculately dressed for what ever occasion and [...] rarely seen without an attractive young lady on his arm" (Swift 2006: 103). Among the protagonist's friends, there is a Brazilian couple – Rico "tall and slim with a devil my care attitude, while Carmen [his wife] was beautiful to say the least with long jet black hair and sparkling eyes" (*Ibidem*: 103). Some of the characters benefit from a physical description made as early as the beginning of the story. Sometimes their portrait is only physical. These aspects contribute to the general feeling that appearance is important. Sally Moran, Graham's first Caribbean love, is a "very attractive lady" (*Ibidem*: 28), height five feet nine, "slim with dark brown curly hair". Beth Levenson admires her husband's "powerful shoulders" (*Ibidem*: 79) while he is diving into the swimming-pool. Moreover, most of the characters' occupations are meant to improve health, beautify the body, and satisfy the senses. Some of them work in entertainment, having yachts or ranches and organising activities for tourists, some others in body care, hair dressing, spa or the make-up industry.

The body is part of Bourdieu's physical capital (Bourdieu qtd. in Crossley 2001: 96-7), and in *Caribbean Dawn* people enter social "games" (*Ibidem*: 100) (or social contexts in which they act strategically) envisaging their bodies as capital, which is part of their mentality. In this novel, three aspects are relevant in connection with the body. Firstly, enjoyment brought by (ab)using the body has a hidden, darker aspect that is omitted. Beauty is taken for granted, which leaves unmentioned the fact that it most often requires work, sacrifice, and pain. Secondly, Western culture has been commented upon as scopophilic and male, privileging sight and gaze. In such a discussion, feminist critique is pertinent. Thirdly, the individual's relation to the body takes place within a consumerist culture, which encourages greater attention to bodily needs.

In relation to the first two issues announced above, feminists claimed that "western society disciplines women's bodies within a heterosexual economy" (Brook 1999: 66). More to the point, women are under an imaginary male gaze, known as the "ghost" (Bruch qtd. in Bordo 1997: 238), or

“the male in the head” (Holland *et al.* qtd. in Brook 1999: 66), which compel them to meet certain beauty standards. In order to reach these, women end up having eating disorders and surgery. One may definitely say that “there is a clear, if not always totally articulated, nexus between their body size and appearance, heterosexual availability, and their sense of self.” (*Ibidem*: 66) The “male in the head” may be defined as interiorised masculinity and heterosexual compulsion, which determine women to examine themselves with male eyes (*Ibidem*: 67). A sort of “disassociation” ensues, the result being two bodies: one is repressed, a mirror of the symbolic requirements of the “male in the head”; the other is object, a body that resists repression – “material, hairy, discharging, emitting noises, and susceptible to pleasure and pain” (*Ibidem*: 67). The latter is potentially threatening to male presence, as it can erupt “into men’s space”; consequently, it “has to be carefully regulated” (*Ibidem*: 67). Feminist conclusions would be that, “given the powers invested in masculinity” (*Ibidem*: 69), abuse is likely to emerge. In other words, the (ab)use performed by women on their own body is due to this interiorised prototypical masculinity, which comes to be part of them.

Within a discussion of beautiful bodies, eating habits are implicit. Eating disorders unavoidably appear due to pressing and progressively unrealistic standards of slimness imposed by modern society. There is no mention of such a disorder in the novel. However, the novel’s unrealistic tone, which shuns all unpleasantness of life with suspicious serenity of approach, would consequently also avoid any hint at such unsavoury subjects. The reader only “sees” the repressed body, which results from the taming effect of the symbolic gaze of the “male in the head”, a body that is slim. This slimness, we notice, while reading the novel, is an obsessively recurrent feature. On the other hand, body beauty taken for granted leads to the idea of self-disciplining practices.

What is interesting is the double standard functioning in the approach to body weight in general. In 1992, Matra Robertson noticed that being overweight in women’s case is proof of psychiatric problems, whereas with men it is a life-style issue of negligence (Robertson qtd. in Brook 1999: 74). We witness an “identification and cordoning off of eating disorder as a female psychiatric problem, as distinct from ‘life-style’ physical problems attributed to male bodies” (*Ibidem*: 74). Thus, this matter becomes a gendered issue. Indeed, with the one exception above, in *Caribbean Dawn* we do not find comments referring to the bodily shape of men, whereas those introducing women abound. Also, women are described as slim or thin, rather than in shape or fit – an important, though subtle distinction. After having managed to avoid a negative characterisation in relation to potentially untamed overweight bodies, anorexic women are seen as prey to disorder as well (Brook 1999: 70). Besides the abuse to which they are subjected by impossible standards of beauty, women reach self-aggression, in a relation of mutual abuse with their own bodies, which they see as “Another who must be punished and distanced” (*Ibidem*: 77). Consequently, in this context, all three types of abuse announced at the beginning of this section are present.

### **Hybrid and Ambivalent Bodies**

All the bodies discussed in this paper may be included in the classification made by Arthur Frank. His types are ambivalently hybrid, as their characteristics overlap. Also, the (ab)used bodies in our analysis do not pertain to just one of Frank’s types.

Following Mead, Frank supports the idea that the body reaches self-awareness “when it encounters resistance” (Frank 1995: 51). The body turns upon itself, according to various dimensions, producing “types of body usage” (*Ibidem*: 51). These are relevant to the study and construction of identity.

The first type is the “disciplined body” (*Ibidem*: 54), whose dimension is control (*Ibidem*: 51) and whose “medium” (*Ibidem*: 54) of activity (or enabling context) is “*regimentation*”. “Domination of self” (*Ibidem*: 56) proceeds through the intermediary of Foucault’s “truth games” (Foucault qtd. in Frank 1995: 56). These are discourses “related to specific techniques that human beings use to understand themselves” (Martin *et al.* qtd. in Frank 1995: 56). One relevant example to the discussion of beautiful bodies above is diet, with its facets of fasting, or asceticism. At some points in history, these practices opened for women an oppositional space against patriarchal norm, which nevertheless had its side effects (Frank 1995: 59-60). Women’s fasting and asceticism were made to look like “heresy” (*Ibidem*: 60), as diabolical and unclean, because institutions like the church and patriarchy were not ready to grant women the power allowed by this truth game. Frank notices the outcome of

these practices, which brought a reinforcement of the patriarchy that women initially sought to counter. In other words, in the pursuit of individual ends, the body sometimes only manages to reproduce existing structures.

The same pattern may be considered to function in the way women in modern times approach anorexic practices. Initially, women start by pursuing the ideal of the independent working woman functioning in the public sphere, who needs to align her figure to the practicality of a dynamic life. In this, women rebel against patriarchal order. However, they also display conformity to this order, by adapting to the slender ideal imposed by the “male in the head”. This ideal entails sacrifice and rigorous discipline over one’s body – a situation that is itself ambivalent, as it proves both strength and weakness on women’s part. These aspects are discussed at length by Brian Turner (Turner 2007: 181). In *Caribbean Dawn*, the independent women with successful careers conform to excessive slimness, which constitutes, as we have seen, both liberation and encroachment. In the case of anorexia, one can speak of women for whom the “discipline of the body becomes its care” (Frank 1995: 61), when the body is both a disciplined one, and one of desire or lack. This situation brings us to the second type of body usage, and demonstrates that one body may be the site of more than one usage.

Under the “dimension of desire” (*Ibidem*: 51), the body can be either “producing” or “lacking”. These possibilities result in two body sub-types: one of “plenitude” and fulfillment, and the other of “limitation” and “incompleteness”. Frank points out that, against the background of consumerism, in which the medium of activity is consumption, the problem of desire gets intensified. The consequence is the immediacy of the consciousness of lack. The body of desire and lack is a “mirroring body” (*Ibidem*: 61), which shows how the environment is. As a defense strategy, “the mirroring body is endlessly *producing* desires in order to keep its lack unconscious” (*Ibidem*: 62). Desire is, therefore, a type of compensation. There is also consumption by gaze only, in which “the object need not be purchased” (*Ibidem*: 63) or physically appropriated, “because it has already been consumed in the initial gaze”. *Caribbean Dawn* illustrates both types of consumption, as it is a paradise of both luxury and body beauty put on display. Also, intensified desire, or hedonism, may mask (and at the same time subversively point to) either lack of deeper meaning in people’s lives, as in Sandra’s case (Chapman’s assistant), or trauma that has incapacitated the individual in various ways, as in Irene’s situation.

The mirroring body is discussed by Frank with references to Jean Baudrillard and Pierre Bourdieu. Jean Baudrillard considered that objects destined to consumption are like “hysterical symptoms” (Baudrillard qtd. in Frank 1995: 64), in the sense that they reflect the existence of unexpressed needs. These needs are projected onto a set of “floating signifiers”, also referred to as “sites of pleasure” (*Ibidem*: 64). Baudrillard draws attention to the meaning of being “into” something, (into one’s desire), as “fetishistic” (*Ibidem*: 65) and “mania”-like. Frank points out that Baudrillard assimilates his theory of bodies to the broader condition of hyperreality. Under this umbrella, the body can only be a “schizo” (*Ibidem*: 66), or a “screen” for various “networks of influence”, meaning that it loses agency. Thus, it “can no longer play nor stage himself, can no longer produce himself as a mirror” (*Ibidem*: 66). Frank concludes that “In hyperreality the body fades into its own simulation” (Frank 1995: 93). Thus, the beautiful bodies are ambivalent. Their possessors may pursue the “internalisation” (Bourdieu qtd. in Frank 1995: 67) of group “tastes” as empowered agents, in which case their ideal body size, posture, ways of movement and activities are proof of successful integration and exercise of *habitus* (either Caribbean, or European modern *habitus*). On the other hand, they may be Baudrillard’s “screens”, victims bound to emulate an image of success. In this case, their bodies are not the triumph of their will, but evidence of a depersonalising mechanism – a repeated copying of copies of an inexistent but presumed essence. These bodies may just be the manifestation of various types of lack.

The dimension of relatedness dictates a third type of usage, namely the “dominating body” (Frank 1995: 69). It can be “monadic” (*Ibidem*: 52), i.e. exist among others but not with them, or “dyadic”, more open and communicative. The beautiful body seems to stand in an undecided middle. An above-average good-looking individual is self-oriented enough as to pay excessive attention to the body. However, this self-care has in view integration in the community, successful interaction, the others’ approval, and perhaps domination over them. In this respect, this body is relational.

We have seen that, according to some sociologists, beautiful women's bodies are tamed and disciplined by their possessors according to standards dictated by men, which they internalise. In this respect, a beautiful woman is the dominated one in a male world in which, therefore, man is the dominant. However, this situation can be reversed, in at least two ways. Firstly, women may feel empowered by beauty and capitalise upon it to their advantage, manipulating the others. Secondly, Frank's observation, that the dominating individual has a fear of life which is "productive and contingent" (*Ibidem*: 76), has interesting ramifications. For instance, in 1989, Mary O'Brien notices that women function as a threat to males due to their "birthing potential" (an experience to which men have no access) (O'Brien qtd. in Frank 1995: 78). As possessors of uncontrollable change, women threaten stability and the existing (male) order. This explains how men tried to appropriate "birth as male" (*Ibidem*: 78), in oppressive regimes, like the Nazi's, or via reproductive technology.

In Swift's world, a lot of beautiful women are or have been pregnant as well, posing both types of threat mentioned above. In *The Sweet-Shop Owner*, William Chapman regards Irene's pregnant body with reverence and awe. In *Shuttlecock*, Marian's body inspires spite and fear to her husband, Prentis. That is why he tries to subdue her, the mother of his children, both physically and mentally. Physically, he is particularly inventive in their sexual life in finding new body postures. He confesses to his readers, as a narrator, that he is impressed with the quality of his wife's body of being like clay, and with the fact that he can consequently mould her as he wishes (Swift *Shuttlecock* 1992: 27). This detail is not as sordid as it may appear, as what Prentis actually admires and longs for in this situation is beyond the material reality. It lies in the signification of being malleable in the roles and symbolical positions adopted in one's life and in relation to other people. What he likes about Marian is the way she can symbolically juggle with being both feminine and manly, vulnerable and strong – we should not forget that she takes care of physically challenged people. It is this harmonious steely mixture of (apparent) weakness and power that Prentis almost envies, as, in opposition to his wife, he can neither hide his weaknesses nor harmoniously integrate or manage them, being a dissonant and generally weak character. In *Waterland*, Mary Metcalfe's body is almost venerated. She is the only girl growing up together with a group of boys her age, and a budding attractive one, a context that grants her the status of an "unattainable" (Swift *Waterland* 1992: 48) "madonna" (*Ibidem*: 46). When she learns that she is pregnant, there are three boys that feel emotionally connected to her and who wish the child were theirs, and her pregnancy and the question over who the father is determines a conflict between them that will lead to a murder. In a way, all three revere her for the child she is carrying even more, while trying to appropriate and control her.

The fourth dimension mentioned by Frank, of "self-relatedness" (Frank 1995: 52), engenders the "communicative body" (*Ibidem*: 53), characterised by "dissociation" (*Ibidem*: 52) from itself and "association" with others. In this respect, it is "a body *in-process*" (*Ibidem*: 79), in-the-making, for which "recognition" (*Ibidem*: 54) functions as medium. Surely all the beautiful bodies that we have discussed are recognized as such by the others, only that this recognition is not perceived as (entirely) positive by the individual – and we refer here especially to Sandra, Irene, Dorothea, or Mary. In their cases, the dissociation from oneself does not ensue as a technique to rally to the tastes of the others and manage to toil upon one's body to bring it into the desired shape that would be accepted and admired, as it happens in *Caribbean Dawn*. It is a reaction of rejection of one's own beauty that has become harmful to oneself. In these cases we may speak of a dysfunctional self-relatedness, which instead of managing to integrate the individual socially alienates her even more.

### Conclusion:

In this paper we have seen that the dynamics of the beautiful body on the social stage entails various types of abuse – the possessor's over her/his body, the body's over the possessor, and the beautiful person's over the others or vice versa. For Swift's female characters, there is usually a significant downside to having a beautiful body. Besides that of the sacrifice that is implicit in maintaining this appearance (sometimes only hinted at), which can take mild or aggressive forms, there is almost always a darker aspect hidden by the glamour of image. As we have noticed, this ugly reality underneath the surface entails some kind of further abuse or trauma: having been treated like a sexual object (for Sandra, Irene Chapman, or Mary Metcalfe), having a brilliant mind that gets

neglected as beauty comes forth (for Dorothea Chapman), leading a hedonistic existence that may obscure other preoccupations in life (in *Caribbean Dawn*).

However, while various forms of abuse may seem to be valid and lurking behind a beautiful appearance in women's case, with men things are different. Swift does not present men as burdened by their attractiveness, when they are associated with it, which happens very rarely in his fictional world. For men beauty is merely an asset to which they never fall victim.

Arthur Frank's types of bodies and body usage are hybrid, almost always containing their reverse. Moreover, the bodies in our analysis are ambivalent, in more than one way. They are both empowered and vulnerable, as well as abusive and abused. Consumerism, ever-present in *Caribbean Dawn*, provides us with the perfect example to illustrate the idea of hybrid bodies and body usage. According to Frank, it can be understood as a "willingness to be appropriated" (Frank 1995: 94): "The consumer thinks he or she appropriates the commodity, while it appropriates its consumer." Thus, the dominating body is also dominated, communicative, a body of excess, and one of lack. Ambivalence is proved, along with the idea that the user is the abuser and the abused simultaneously.

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## RAPHAEL CONFIAINT'S ANTI-EUROCENTRISM IN NEGRE MARRON

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### Abstract:

This article does a thorough analysis of a Caribbean strong male hero, Simon Louis Jerome's attempt in Raphaël Confiant's novel *Nègre marron* (maroon Negro), to reconnect with his roots and literally to return to Africa which is often referred to as *pays d'avant* -- the country before-- ,or where we came from or *Pays Guinée* (Guinea in West Africa). Throughout the article, the author demonstrates that this novel attempts to undo the derogatory stereotypes that Western Modernity associates Africa with but the article ends with the defeat of the nègre marron in his mission, as if the Raphaël Confiant was trying to show that any attempt by a Carribean to reconnect with Africa is bound to fail.

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**Key Words:** Nègre marron, anti-eurocentrism, créolité, marronnage

### Introduction

Raphaël Confiant's *Nègre marron* (2006) presents some exceptional thematic and narrative features that do not appear in other Caribbean Francophone writings. The novel follows a transhistorical "collective" protagonist who doesn't accept enslavement or assimilation and who never stops resisting, a symbolic *nègre marron* or maroon Negro who resists exploitation and white hegemony in all its forms. The *nègre marron's* resistance begins as a reaction to the inhuman treatment and exploitation of the Caribbean plantation system, and metamorphoses into other forms of resistance like trade unionism, revolutionary socialist oppositions and the fight against corruption and racism. The novel unfolds along various terrains and situations which correspond to specific periods in the history and contemporary situation of the Francophone Caribbean and the world in general, and the social contradictions and injustices of each of those periods and eras are bravely combated by the *nègre marron* and his allies.

In *Frantz Fanon: A Biography*, David Macey introduces the *marronage* process itself, and shows how deeply rooted the practice of *marronage* is in Caribbean society in general and in Fanon's Martinique in particular. Macey presents two contrasting towns in Martinique, and shows that each of these towns tells a different history of the country: Fort-de France, the capital city, associates the history of Martinique with the Savanne, the area whose main attraction is the statue of Josephine, who is a source of pride to many alienated Martiniquans. She is portrayed as a "white Creole born in Les Trois Ilets across the bay from Fort-de- France, and wife to Napoléon from 1794 to 1809, when he repudiated her because she could not give him an heir. The cult of Josephine is still alive and well in Martinique" (Macey 10). Rivière Pilote is another town which tells a completely different history of Martinique. The dominating monument in that city defines and celebrates the practice of *marronage*:

The streets of the little southern town of Rivière-Pilote tell a different story to those of Fort-de- France. A plaque in the rue du Marronnage records the history of the runaway slaves or *marrons* who launched armed attacks on the white plantations. It explains: 'In the Caribbean, some slaves fled to the hills and woods in order to rebel against slavery and to prepare for insurrection. This was *marronage*. The marron-blacks [*les nègres marrons*] formed communities and organized themselves into small armies under the command of one leader in order to launch attacks on the plantation of the white masters so as to liberate their brothers and their country. Their heroic leaders included: Makandal, Boukman, Palmarès, Pagamé, Moncouchi, Simao, Secho...' (Macey 11).

The connection between the *marron* as he is defined by this plaque and Frantz Fanon was clearly expressed in 1982, when a 'Mémorial International' was organized in Fort-de-France in order to honor Fanon. Macey writes that according to a commentator, "the *Mémorial* marked the return to their people of the first heroes of a pantheon: *the marron* and Frantz Fanon" (13). It might also help to recall here that both Raphaël Confiant and Frantz Fanon were born in Martinique; they share a common background.

The specific features of *Nègre marron* place Confiant in a position between Western Eurocentrism and its related Caribbean writings at one extreme, and the Créolité movement at the other extreme. Confiant rejects Eurocentrism as he tries to undo the negative representations that Western Modernity attaches to Africa, and he also diverges from the Créolité movement in *Nègre marron* (although he is one of the founders and main partisans of the movement); he does not solely ground his work in the Créolité context, or the Caribbean context.

The first pages of *Nègre marron* evoke a nostalgic longing for the African lands where the ancestors of the *nègre marron* or maroon Negro came from: the "Pays Guinée" or "Pays d'Avant". One of the most striking and anti-Eurocentric features of *Nègre marron* is the composite protagonist's burning desire to return to Africa. That feature distinguishes Confiant's novel from most of the Francophone Caribbean works. The way back to Africa is so important that it is literally shouted several times on two consecutive pages: RETROUVER LA VOIE QUI VOUS CONDUIRAIT EN AFRIQUE-GUINEE (*Nègre marron*, 44) and RETOURNER AU PAYS D'AFRIQUE-GUINEE. Oui! (*Nègre marron*, 45).

Unlike other Caribbean writings, Confiant's portrayal of the African landscape focuses on the physical difference that exists between that landscape and that of the Caribbean. It does not celebrate the bounty of natural resources of Africa; it often rather stresses the scarcity. Confiant's protagonist prefers the hardship of African existence to the excessive and crippling richness of natural resources of the Caribbean, or "le Pays d'ici là". Living conditions were challenging in the African savannah; as a consequence, the continental African or the *Nègre Guinée* became a tough-minded, a creative and ingenious person, who lives in harmony with nature in order to survive on those limited resources. On the other hand Confiant describes the climate and living conditions of the "Pays d'Ici-là," as a place where nature is bountiful but also simply too hostile for survival. The Caribbean is depicted as the land of thick forests and indomitable rivers, a land enveloped in a gloomy atmosphere. That denotes the twist that Confiant administers to Eurocentric Caribbean representations of Africa, in which, as in Conrad's *Heart of Darkness*, Africa is depicted as rich in natural resources available for plunder, but also darkly mysterious and dangerous. For example, René Maran's *Un homme pareil aux autres* associates Europe with knowledge and a healthy life style, while Africa is represented by its jungle: "les cocotiers, le sable, les bêtes féroces, les chameaux, les fonctionnaires coloniaux et un tas de bestiaux de même farine"/ coconut trees, the sand, wild animals, camels, colonial civil servants, and a whole bunch of beasts of the same kind (32).

Here is Confiant's contrasting view:

Au Pays d'Avant, votre village s'étalait au milieu de la savane et sa terre rouge, ses arbustes étiés, son ciel pur. L'horizon était à portée de regard. L'eau rare. Il fallait creuser des puits et encore des puits, les premiers se tarissant au fil du temps, et il arrivait que pendant une année entière il ne pleuve pas une seule journée malgré les prières ferventes adressées aux divinités. Ici-là, à l'inverse, tout n'est que mornes arbustes à la végétation enchevêtrée, rivières bondissantes qui déversent une onde diaphane qu'on aurait jurée infinie. (17)

In the "Pays d'Avant" / Previous Country, your village was located in the middle of the red earth savannah, with its short trees and pure sky. The horizon was not far. Water was rare. One had to keep digging wells continuously because they would dry up as time went on and sometimes it would not rain for a whole year despite the fervent prayers addressed to the gods. Here on the other hand, everything is simply bushy intertwined vegetations, fast running rivers which project water waves which seem to be infinite.

The *nègre marron* can no longer enjoy those familiar living conditions that he was used to, in Africa and as a consequence, hence, his nostalgia. The primitiveness of Africa is represented here as a positive ideal, one can start a fire by rubbing two stones together, matches are not needed:

“Les premiers temps, ceux de l’échappée, furent des temps sans feu. Là-bas, au Pays d’Avant, deux pierres frottées ensemble ou une buchette habiliment tortillée dans la rainure d’un bout de bois vous suffisait pour en allumer un”. Ici-là, la pluie incessante l’interdit. Tout est humide, mouillé, visqueux même. Une mousse grisâtre recouvre en permanence les troncs des rochers. Le feu vous a longtemps manqué. (23)

The first times, the moment of the salvation was a time without fire. Over-there, in the Previous Country, two stones rubbed against each other or a stick cleverly twisted in the crack of a piece of wood was enough to make fire. Over here, incessant rains do not allow that. Everything is humid, wet, and even viscous. A grayish fungus permanently covers trunks of rocks. For a long time you missed fire.

The diasporan protagonists in *Heremakhonon* and *Nègre marron* both consider Guinea on the West African coast as their home, as the country from which they were uprooted and shipped to the Americas. Veronica travels to Guinea with the hope of reconnecting with her roots, and the *nègre marron*’s main goal in his rebellion and resistance is to return to “PAYS GUINEE” (*Nègre marron*, 45). The fact that both characters view Guinea as their native land is very significant. In “Afro-Americans and the Futa Djallon” (Harris 1982), Boubacar Barry traces the roots of the symbolic significance of Guinea in general and the Futa Djallon mountain in particular, to the powerful personality, determination and charisma of Abdurahman, a prince from Futa Djallon in Guinea who was sold as a slave and ended up as the property of American farmers in the South of the US. Barry writes that Abdurahman left no stone unturned in order to return to his native Guinea, and that he succeeded in combining that ambition with hard work and dignity to such an extent that he earned the respect and admiration of all the slaves in the South and also the white slave owners. The prince’s background and the conditions of his captivity are presented in these terms:

Abdurahman was the son of Ibrahima Sori Mawdo, the second Almami (ruler) of Futa Djallon. He studied the humanities at Timbuktu. In 1788, at the age of 26, he was taken prisoner during a battle north of Futa Djallon and was subsequently sold as a slave to a farmer named Thomas Foster in Natchez Mississippi. (Harris, 285)

The royal slave succeeded in imposing himself as an admirable and highly respected figure who makes the black race proud in Southern US:

Abdurahman maintained his dignity during this long ordeal, and as a result of his unswerving faithfulness to Islam he succeeded in winning the admiration of his contemporaries. He compelled recognition in spite of many feelings of abnegation among his kin and also in the midst of the blatant brutality of the Southern slave masters. In the final analysis, he became the centerpiece of the prosperity of his master’s farm. (Harris, 286)

Boubacar Barry recalls that out of frustration --due to the exile of his daughter who had a relationship with Foster’s son--Abdurahman wrote a letter in Arabic to the Sultan of Morocco around 1826, asking him to use his influence with the president of the United States so that Thomas Foster would grant him freedom. After thirty nine years of servitude, Abdurahman was free. The American Colonization Society lent their support to him and his family and relied on him for the propagation of Christianity in West Africa, and in 1829 he died in Liberia. According to Barry, Abdurahman’s life and work ultimately became a source of hope and inspiration which was passed on to generations of diasporan blacks:

The energy of this man who had lived in the unforgettable shadow of the land of his youth, was sustained by his relentless faith in the idea of a return to his native land. Like

Abdurahman, thousands of black slaves toiled in the cotton and tobacco fields of Mississippi and the South. By keeping faith in an eventual return to the ancestral land, they survived. A precious heritage passed on from father to son, this hope survived over several generations. (286-87)

Another connection between the Caribbean and Guinea stems from the influence of Edward Blyden (the West Indian writer who is also one of the pioneers of the organization of the pan-African movement), who left the West Indies and settled in Sierra Leone, where he wrote extensively on the political and social organization of the kingdom of Futa Djallon (Harris 287). The nostalgia for Guinea in *Heremakhonon* and *Nègre marron* therefore reflects the general influence that that part of West Africa has on the diasporan black. Guinea and the Futa Djallon constitute an ideal of resistance and redemption which inspires the radical and subversive position of the *nègre marron*.

Confiant tries in *Nègre marron* something which is similar to what Achebe did in *Things Fall Apart*, as an answer to Joseph Conrad's *Heart of Darkness*: rectifying or erasing the distorted images presented by the imperialist powers and replacing them with more accurate representations. Conrad writes that the Congo is a savage river and Africa is a land inhabited by savages and cannibals, a continent where imperialist Europe bears the weight of the "white man's burden" through agents like Kurtz. In response to Conrad, Achebe constructs in *Things Fall Apart* an African society with its cultures, beliefs, practices and manners, like any other stable human society. Achebe doesn't present a utopian or romanticized idealist depiction of a pre-encounter African society. Nor does he allow the reader to harbor any illusion that the traditional African society will be able to withstand the pressure of Western influence without changing. But Achebe does show a pre-encounter African society that reveals a stable civilization, and in his epilogue that consists of the notes of a myopic colonial administrator, he dramatizes the disastrously presumptuous misunderstanding of traditional African societies by the Europeans. Like Achebe in *Things Fall Apart*, Raphaël Confiant presents in *Nègre marron* African societies with their physical and human realities, their living conditions and their interaction with other people like Arab traders. For example, *Nègre marron* mentions the main numerous languages which were spoken by the newly arrived slaves in the Caribbeans, and the author shows that time and need led to the replacement of the African languages with Creole, the medium of communication on the Caribbean, or the "Pays d'Ici-là":

les langues aussi s'enlient les unes aux autres; la votre, le bambara, à celle des peuples voisins, les Mossis et les Peuls, ou éloignés, les Wolofs et les Sérères. Quelques phrases d'arabe grappillées à ces marchands enturbannés, égrenant sans arrêt leur chapelet en ivoire qui étendaient leur tapis de prière sur la place du village et se prosternaient en direction du levant à la grande joie des gamins qui les imitaient en cachette. (18-19)

Languages also intertwined; yours, Bambara, with those of the neighboring people, the Mossi and the Peuls tribes, or farther, the Wolofs and the Sérères. Some Arab phrases grabbed from the traders with turbans and ivory chaplets who used to spread their prayer carpets on the village spot and prayed facing the East while children happily imitated them.

In the direct voice of the narrator, Confiant recalls some of the derogatory depictions of Africa created by Western Modernity, and juxtaposes those features to his representation of Africa and Africans. Some of the negative images of Africans come from local newspapers announcing the escape of some run-away slaves from the plantations, or papers broadcasting a message that the white slave owners would like to pass to the literate portion of the population. This announcement on a Bambara slave who escaped from the ship "l'Amelie" which was bringing slaves from the West African coast stresses the "inhuman", "aggressive" and "dangerous" characteristics of the slave:

Il se peut qu'il ait rechappé aux requins de la baie de Saint- Pierre et se soit réfugié dans les hauteurs du Carbet ou autour du Morne -Rouge. Il s'agit d'un Nègre bambara de onze pieds de haut, au teint noir fonce, qui porte trois scarifications parallèles sur le front. Il semble très dangereux et n'hésite pas à s'approcher nuitamment des populations pour y voler ou y mettre le feu.(16)

He might have escaped the whales of Saint Pierre bay and taken refuge in the high cabarets or around Morne-Rouge. He is an eleven foot tall Bambara Negro with a very dark complexion and parallel tribal marks on his forehead. He seems to be very dangerous and does not hesitate to come closer to people's houses at night to steal and set fire to houses.

The gross, rough and beast-like features of the African slave in this description can be contrasted with the description that Confiant's narrator provides some few pages further, of the slaves who have been bought by "le chef blanc/the white master", from the ship captain, when the ship reached the Caribbean. The narrator celebrates the beautiful, strong and noble stature of the slaves who survived the trip on the sea. The only female among those survivors is so pretty that the slave traders cannot resist her charm:

Le chef blanc tendit une sacoche au capitaine d'un air maussade, non sans vous avoir recomptés du regard. Vous étiez douze à être marqués à la chaux. Onze jeunes Nègres à la membrature parfaite et à la taille élancée, plus une Nègresse très belle que les marins avaient surnommée Oriane. (26)

The white master handed a small bag to the captain with an unpleasant look, and he made sure that he counted you again with his eyes. Twelve of you were branded with white paint, eleven young Negroes in perfect shape and great height, plus a very pretty female Negro whom the sailors had nicknamed Oriane.

But it is above all the *nègre marron* who himself embodies all the qualities which Eurocentrism denied the black man. The *nègre marron* is a brave black Caribbean man who refuses the domination of the plantation system and its slavery, and seeks refuge deep in the forest where he creates a community of *marrons*; together, they work to undermine the domination and exploitation of the plantation system. He is the opposite of the cowardly brainless Africans who never achieves maturity and remain as children forever in Eurocentric writings. In *Le Discours antillais*, Edouard Glissant refers to the *nègre marron* as the courageous hero who openly opposed the mainstream policy of slave owners and plantation proprietors who, for their part, turned the image of the *nègre marron* into an assassin or a vulgar bandit:

Le Nègre marron est le seul vrai héros populaire des Antilles, dont les effroyables supplices qui marquaient sa capture donnent la mesure du courage et de la détermination. Il y a là un exemple incontestable d'opposition systématique, de refus total. Il est significatif que peu à peu les colons et l'autorité (aidés de l'Eglise) aient pu imposer à la population l'image du Nègre marron comme bandit vulgaire, assassin seulement soucieux de ne pas travailler, jusqu'à en faire la représentation populaire, le croquemitaine scélérat dont on menace les enfants (Edouard Glissant quoted in *Nègre marron*, 169). The *Nègre marron* is the only real hero of the Antilles whose courage and determination can be measured through the dreadful punishment that was administered to him when he was captured. He is an incontestable example of systematic opposition and total refusal. It is important to point out that the colonial authorities (supported by the church) succeeded in imposing to the population the image of the *Nègre marron* as an ordinary bandit, an assassin who refuses to work, and he ultimately became a popular scarecrow used to frighten children.

Resistance to exploitation is one of the core features of the diaspora. In "African Diaspora: Conceptual Framework, Problems and Methodological Approaches", Oruno D. Lara writes:

For blacks, to exist is to resist the capitalist stronghold which is seeking to neutralize, to annihilate, to liquidate them physically and culturally. In this regard, it must be noted that the diaspora was forged in a dynamic framework of resistance, symbolized by a movement extending over six centuries without interruption. There is no existence without resistance; this will never be emphasized enough. Those communities within the diaspora which have

expressed their existence the most are still the ones which have resisted with the greatest zeal. (Lara quoted in Harris, 59-60)

One of the great qualities that Confiat attributes to the *nègre marron* is his sexual attitude. Unlike the black African men like Ibrahima Sory in *Heremakhonon* who turn women into sex objects, or unlike the black man who is turned into a phallic symbol in Fanon's *Black Skin White Masks*, or the black man who is tirelessly running after the virginity of the white woman as in René Maran's *Un homme pareil aux autres*, the *nègre marron* controls his sexual desire. He is neither passionately attracted to white women nor to black Creole women. He has a relationship once in a while with a Creole woman who admires him and is attracted to him. The *nègre marron* puts his target before everything: to overthrow the white master and if possible, to kill him: TUER MON MAITRE BLANC/ TO KILL MY WHITE MASTER (108), and that leads the *nègre marron* to choose a monastic, solitary life (124). He stays away from the exigencies and obligation of relationships in order to devote all his time and energy to the cause he is fighting for. His relationships with woman, when they exist, take place in "le provisoire et le furtif/ in a provisory and furtive way" (116).

There is no doubt that the *nègre marron* views violence as the main weapon in the anti-slavery struggle, just like Fanon assigns to violence the pivotal role in the anti-colonial struggle. Fanon's advocacy of violence can be explained by the main events of his life: first, his disillusion after the Second World War, when he realized that he had fought for a country ( France) which claims to uphold 'égalité et fraternité' (equality and fraternity) while it invades Algeria whose inhabitants it tortures and kills. Secondly, Fanon and all the other Martiniquans who had fought on the side of the French during the war were still victims of racism both in France and also in Martinique, where the skin color was still a determining factor and the 'lactification process' was the means that many dark skinned Antillean used in order to lighten their skin and get close to whiteness. Fanon's anger also stemmed from the injustice and inequality that he saw around him in the world in general. David Macey captures the sources of that anger in these terms:

And yet, if there is truly a Fanonian emotion, it is anger. His anger was a response to his experience of a black man, in a world defined as white, but not to the 'fact' of his blackness. It was a response to the condition and situation of those he called the wretched of the earth. (28)

The main trait that Edouard Glissant and Francis Jeanson -- the latter was Fanon's editor at Seuil-- associate with Fanon is that he was 'un écorché vif', someone who had been skinned alive, a hypersensitive person (Macey 159). One of the most striking moments of Fanon's advocacy and acceptance of violence in the struggle against oppression was his speech at the All African People's Congress in Accra in 1958:

His hugely successful performance in Accra also helped to promote the image of Fanon as the apostle of violence three years before the publication of *Les Damnés de la terre*. When she met him in Rome in the summer of 1961, Simone de Beauvoir knew little about Fanon himself, though she had recently read his books, but she did know that this was the man who had been applauded in Accra for the 'impassioned speech on the necessity for and value of violence' and for his criticisms of Nkrumah's 'pacifist these'. Fanon's reputation had also come to the notice of *L'Express*'s Jean Daniel. Daniel was not present in Accra himself, but he had, he recalled in 1961, heard many of those who were there speak of the 'poignant speech' in which Fanon justified the use of violence 'with accents that reduced him to tears and made his audience feel a sort of communion'. (Macey 371)

Fanon's emphasis on the legitimacy of violence within the context of the liberation struggle can be better understood if we examine it this way: he first made it clear that the colonial process or the colonizing enterprise itself was founded on violence, and the only way in which the colonized could get their freedom from the colonizer was also through a violent liberation struggle. Then, he extrapolated his discussion to the personal or individual virtue of violence, or the way in which the

colonized people can ‘expunge’ themselves of the poisoning and incapacitating effect of colonization, and he adds that this stage also prepares the individuals when it comes to protecting their newly found liberty and independence:

At the level of individuals, violence is a cleansing force. It frees the native from the inferiority complex and from his despair and inaction; it makes him fearless and restores his self-respect. Even if the armed struggle has been symbolic and the nation is demobilized through a rapid movement of decolonization, the people have the time to see that the liberation has been the business of each and all and that leader has no special merit. (*The Wretched of the Earth* 73-74)

Fanon’s emphasis on the cathartic effect of violence is what critics like Irene L. Gendzier find to be less convincing:

Fanon’s thesis, as expressed in his notion of the cathartic effect of violence, was that decolonization could only occur successfully where the colonized not only seized their freedom through a liberation struggle, but participated in violent actions to individually expunge themselves of the colonial heritage of inferiority and submission. It is this aspect of violence which, so graphically expressive in words, is considerably less convincing as a policy. (198)

Fanon’s emphasis on violence was also often interpreted as a call for terrorism, a revival of extreme nationalism. Critics who were enraged at Fanon’s advocacy of violence condemn both Fanon and Sartre, who was Fanon’s ideological mentor. Macey brands such readings of Fanon as negative readings:

When he is read, the readings are negative. In an essay which turns the ‘white man’s burden’ (*le fardeau de l’homme blanc*) into the ‘white man’s sob’ (*le sanglot de l’homme blanc*) and argues that there is no viable alternative to white European civilization. Pascal Bruckner claims that Sartre’s support for Fanon was no more than masochism, and argues that Fanon’s writings are based upon an analogy between the thesis that maturity is a form of decadence that has not lived up to its promise, and the adulation of the south, seen as the north’s only future. In 1982, former Maoist turned New Philosopher and anti-Marxist Andre Glucksmann could claim that Fanon was responsible for celebrating the ‘second wave’ of ‘planetary terrorism’ that came to Paris when a bomb exploded in the rue Mabeuf. (Macey 21)

Fanon’s advocacy of violence is also the main element which transpires in the US when his works are criticized. *The Wretched of the Earth* is considered by most American critics of Fanon as a work which spreads violence among the youth in black slums. The Grove Press advertised *The Wretched of the Earth* as ‘a handbook for a Negro Revolution’:

Here, at last, is Frantz Fanon’s fiery manifesto-- which in its original French edition served as a revolutionary bible for dozens of emerging African and Asian nations. Its startling advocacy of violence as an instrument for historical change has influenced events everywhere from Angola to Algeria, from the Congo to Vietnam—is finding a growing audience among America’s civil rights workers. (Macey 23)

American pacifists are also strongly advised to read *The Wretched of the Earth* because of the danger that it represents. In *The New Yorker* of January 15, 1966, Nat Hentoff issues one of those warnings:

His arguments for violence are the most acute in current revolutionary theory... they spread amongst the young Negroes in American slums and on American lecture platforms. Those

who are engaged in rebutting these precepts of violence ( which includes arming for self-defense) ought to find his book a fundamental challenge, and for this reason, if for no other, Fanon should be read by the non-violent activists, and by people who are simply opposed to violence.(p 115)

In *On Violence*, Hannah Arendt contends that Fanon had an influence on the violence that affected American university campuses in the 1960s. Another dominant image of Fanon stems from the “Americanization” of Fanon in the Charles Lam Markmann’s translation of *Peau noire masques blancs*. David Macey refers to that translation as a “seriously flawed one” because it eradicates the specifically French and Martiniquan dimensions of Fanon’s colonial experience. The following passage is typical of Macey’s critique of Markmann’s translation:

Fanon refers at three points to an image of a grinning *Tirailleur sénégalais* (a black colonial infantry man) who is eating something from a billy can. He is saying ‘*Y a bon banania*’, which is an advertizing copy-writer’s idea of how an African says ‘*C’est bon, Banania*’. In the English translation, this becomes ‘Sho good eating’. The *tirailleur* has become the caricatured black of the Deep South, and he is supposedly eating ‘some chocolate confection’. In the original, he is eating something very specific, and with specific connotations. Banania is a ‘breakfast food’ made from banana flour, cocoa and sugar. Posters of the *tirailleur* and his dish of Babania were still a familiar sight in the France of the 1940s and the 1950s; the Senegalese poet and politician Léopold Sédar Senghor wanted to rip them down from all the walls of France. (Macey 29)

I understand David Macey’s indignation at the changes that Markmann made in the translation of *Peau noire*; Macey’s position is marked by the need to remain as faithful as possible to the original text, but I also perceive the reasons behind the Americanization of *Peau noire* in this the translation process. The battle African Americans were waging in the 1960s shared some similarities with the Algerians’ fight for independence. Both combats aimed at achieving freedom and human rights from an oppressing force, although the French occupation of Algeria was certainly more cruel and atrocious, as Fanon’s portrayal of the torture and trauma that French soldiers and police officers caused in pre-independent Algeria in *The Wretched of the Earth* shows. I consider Markmann’s translation of *Peau noire masques blancs* as an attempt to create a motivating solidarity between the Civil Rights’ Movement and the Algerian liberation war. Markmann’s translation of Fanon’s works into English inspired African Americans: Fanon became one of Stokely Carmichael’s ‘patron saints’ and ‘every brother on a roof top’ could quote Fanon (Macey 24).

One of the specific traits of the *nègre marron* in Confiant’s work is that he is not a misogynist; he simply consents to a sad but necessary sacrifice hoping to achieve his aim. The *nègre marron*’s attitude is the complete opposite of the behavior of the alienated Francophone Caribbeans like Jean Veneuse, the protagonist in *Un homme pareil aux autres*. In the novel, Jean Veneuse, born in the Antilles and having grown up in Bordeaux, confesses that he is attracted to French white women, to such an extent that all the white women whom he sees on the boat “l’Europe” which takes him to his new post in the colonies in Africa, confuse him and remind him of the French girl whom he loves, Andrée Marielle. His attraction to the girl is based on her Caucasian French features. She is the daughter of the French poet Louis Marielle and she epitomizes French white beauty. Jean Veneuse loses his breath when he describes her to his friends: “Si Andrée Marielle est jolie? Mon Dieu, oui. Plutôt jolie. Cheveux acajou sombre coupés à la Ninon. De beaux yeux bleus, une petite bouche aux lèvres rouges comme une blessure fraîche” /whether Andrée Marielle is pretty? My God, yes, she is rather pretty. She has dark nicely cut hair, pretty blue eyes, and a little mouth with red lips that look like a fresh wound (37). He later reflects on his relationship with Andrée Marielle, and his decision to marry her. Jean Veneuse is not convinced that his decision is based on love. He rather believes or suspects himself to be getting married to Andrée Marielle out of “proud revenge” for the treatment which has been / and is still being meted out to his race. He also wonders if he is not one of those who try to run away from their race by marrying European women:

Alors je me demande s'il n'en est pas de moi comme de tous, et si, en me mariant avec vous, qui êtes une Européenne, je n'aurais pas l'air de proclamer que non seulement je dédaigne les femmes de ma race, mais encore qu'attiré par le désir de la chaire Blanche qui nous est défendue, à nous autres nègres, depuis que les hommes blancs règnent sur le monde, je m'efforce obscurément de me venger sur une Européenne de tout ce que ses ancêtres ont fait subir aux miens au long des siècles. (185)

And so I wonder whether in my case there is any difference from theirs; whether, by marrying you, who are European, I may not appear to be making a show of contempt for the women of my own race, and above all to be drawn on by desire for that white flesh that has been forbidden to us Negroes as long as white men have ruled the world, so that without my knowledge I am attempting to revenge myself on a European woman for everything that her ancestors have inflicted on mine throughout the centuries.

Although Jean Veneuse ultimately gets married to Andrée Marielle, he is almost convinced that their relationship and marriage is one more example of a black Caribbean man trying to solve his identity crisis (which is also linked to his anger and frustration of being unjustly treated by white colonizers) by securing for himself the relationship and marriage with a white woman. In stark contrast to this pattern, the *nègre marron* totally distances himself from any relationship with white women.

In his attempt to redeem the image of the African, Raphaël Confiant grants a special place to the black woman. One of the main characteristics of Africa in Western Europe was the “feminized” and “sexualized” continent and as such, both the African continent and the African woman were therefore made to deserve only one thing: to be possessed and raped by European men. Raphaël Confiant’s response to such a portrayal is his representation of the strong Caribbean woman figure. Confiant’s prototype of the Creole woman is a very strong, proud and authoritarian one, who teaches Creole men languages and other skills, and organizes life in the Creole community while controlling everything: “L’une des femmes pourtant était créole. Cela se remarquait à son port de tête, à la hautaineté dont était empreinte sa démarche, bien qu’elle ne se refusât point aux étreintes charnelles que sollicitait chacun des hommes” /One of the women was Creole, and one could notice that through her hair style and the pride in her walking style, although she never refused the sexual solicitations of each of the men (42). She is the opposite of the passive dark woman who submits to white and black men. The strength of Confiant’s Caribbean woman figure lies in the control and choices that guide her sexual life. She falls in love with only the *nègre marron*, because he is a courageous, and they ultimately develop a silent but infallible solidarity:

Cette solidarité muette s’étendait parfois aux femmes qui n’hésitaient pas à livrer leur corps à ces héros, au hasard d’une rencontre dans les bois, dans l’espoir d’enfanter un négrillon plein de vaillance. Ceux qui parmi nous étaient réputés avoir pour géniteur un grand Marron étaient très respectés. (122)

That silent solidarity was often extended to women who would not hesitate to offer their body to these heroes whenever they met them in the woods, hoping to give birth to a brave black child. Those of us who were reputed to have a great maroon as a father were treated with a lot of respect.

Although this Creole woman is empowered with some agency and negates some of the stereotypes attached to the dark woman in Eurocentric representations, she nonetheless illustrates the eroticization of the dark woman, which is the proof that some of the features that Western modernity attributed to colonized subjects always keep creeping into the discourse emerging in the colonized, neo-colonial and postcolonial territories, regardless of the anti-Eurocentric determination of some of the writers of those areas, and Confiant is one of such writers.

The resemblance between the Creole woman mentioned above and Veronica in Maryse Condé’s *Heremakhonon* is very striking. Each of them is a strong figure who boldly breaks free from Western alienation and oppression and tries to put in place an autonomous social and political pro-African system which opposes Western European domination. Veronica leaves the Antilles and France behind, travels to Africa in order to reconnect with her roots and herself. She earns her living

as a Philosophy teacher in a lycée in Guinea, while trying to solve her identity crisis through a relationship with a Guinean man. In a similar way, the Creole woman in *Nègre marron* left behind the residence assigned to the slaves, *l'Habitation Bel-Event*, and teamed up with a group of maroons who were determined to return to "Afrique Guinée". The *Nègresse créole* devotes her skills to the life and mission of the maroon community, teaches them Creole words and gets sentimentally involved with the men of that community.

The *nègre marron* is endowed with an exaggerated masculinity which seems to be a reaction against the feminized or emasculated Eurocentric image of Africa. He is an indefatigable militant or combatant whose struggle begins historically with mere *marronnage* and gradually extrapolates to trade unionism and leftist radical political commitment. The *nègre marron* is therefore a symbolic figure whose personality constantly changes in the novel. From the run-away slave who refuses the submission of the plantation system and seeks refuge in the forest, he becomes the one who organizes the workers and eloquently teaches them how to discuss and argue for better salaries and working conditions when slavery ends and blacks become workers on the fields of the rich land owners. Confiant adapts the resistance of the *nègre marron* to the evolution which affects the world in general and the Caribbean in particular. The leadership of the *nègre marron* begins at a period which corresponds to the Cold War era of tensions between the West and the Soviet bloc. At this time the French government feared the rise of Soviet influence, which prompted the beginning of the "departmentalization" of some of the French Caribbean islands. The *nègre marron* character morphs into a labor activist whose companion in the workers' struggle is Leon, a name which is reminiscent of Leon Trotsky one of the main ideologists of the Soviet revolution:

Léon était, en effet, le bras droit de Simeon lors des grèves marchantes. Il devenait soudain loquace quand tous deux se rendaient de plantation en plantation pour convaincre les travailleurs de baisser leur coutelas. Il savait trouver le mot juste, l'argument qui faisait mouche, si bien qu'à chaque début de recolte, les Békés de la côte caraïbe essayaient des débrayages implacables qui les contraignaient à faire appel à la gendarmerie. (148)

Leon was indeed Simeon's right hand man during protest marches. He would suddenly become loquacious when the two of them would go from one plantation to another in order to convince the workers to put their cutlasses down and stop work. He would always find the right word, the argument which would fit the context and as a consequence at the beginning of every harvest season, the white farm owners of the Caribbean coast would face severe clashes and call for the rescue of the gendarmerie.

The *nègre marron's* radicalism transpires in the fact that he reads *The Manifesto of the Communist Party*, and openly asserts his allegiance to the "défenseurs de la classe ouvrière/defenders of the working class" (159), a group who regularly distribute tracts or leaflets issued by "le Mouvement Communiste Martiniquais/ Martinican Communist Movement"(166). Confiant associates him with the most radical and revolutionary movements which existed in the twentieth century, the Communist Party of the Soviet Union, and the Black Panthers Movement of the USA. The *nègre marron* is referred to as "la panthère noire" in the last section of the novel, where he becomes an armed "bandit" who attacks wealthy traders and corrupt public civil servants, aided by the local populations who protect him and support him. At the highest level of those activities, his name becomes Simao Louis Jerome, and the first component of the name is said to be that of a famous African King-- perhaps Samory Touré, one of the most famous kings in African History. Samory Touré who was also known as "The Black Napoleon of the Sudan" repeatedly defeated the French colonial troops for 18 years in West Africa until he was betrayed by one of his generals, captured and deported to Gabon where he died in 1900. Simao Louis Jerome seems to combine "Samory" and "Louis Jerome" or African and French components, two features which are also present in "Samory the Napoleon of the Sudan". By naming the *nègre marron* "Simao Louis Jerome," Confiant makes his position very clear: he glorifies the African past and the African famous kings and he shows admiration and devotion to the *nègre marron*, the one who challenges Western suppression and domination and follows the same path which the famous African kings followed. These names also ground the mission of the *nègre marron* into the Martiniquan soil: the plaque in the southern town of

Rivière Pilote in Martinique-- that I referred to at the beginning of this chapter mentions “Simao” as one of the leaders of the *nègres marrons*. Finally the names of those Marniquan maroon leaders could have been African in origin as I initially said, if one juxtaposes “Samory” and “Simao”.

In the novel, Confiant criticizes the internal divisions which weaken leftist political struggles. The *nègre marron*-- who had suffered imprisonment, hunger and insecurity because he was wanted by the forces of the repressive French authorities who were governing the island is finally betrayed by his comrades. This betrayal emphasizes that political ideologies (the revolutionary leftist or communist ones which claim to defend the cause of the grassroots or the downtrodden included) often remain only theoretical and leave the needy ones to die. On the last pages of the novel, before his defeat, the *nègre marron* remembers his mother warning him against the unreliability of blacks, whom she paints as a doomed race of people with betrayal in the blood. The *nègre marron* realizes that he has been abandoned by his race, the black race, and his mother’s statement provides a very strong illustration of Eurocentrism and Afro-pessimism finding their way into the *nègre marron*’s discourse. The old black lady reiterates that blacks are the last race, a race which is not far from animals:

Pourtant ma vieille mère m’avait prévenu: complot de Nègres, ça ne tient jamais; le Nègre est en deveine depuis l’arche de Noé; aide un Nègre et aussitôt il voudra te défier à la course; le nègre est la dernière des races après les crapauds ladres et patati et patata. Elle avait eu bien raison! (205)

I had however been warned by my old mother: Negroes’ plots never succeed. The Negro has been cursed since Noah’s Ark; help a Negro and he will soon try to beat you in the race. The Negro is the last race after toads, and so on and so forth. She was right!

This resurgence of Eurocentrism on the last pages of *Nègre marron* plays the same role as Veronica’s relapses in *Heremakhonon*, when she falls back into certain Eurocentric beliefs like the hypersexual image of African men. This pessimistic ending is also a kind of call for revolutionary vigilance from the reader. The betrayal of Simao the *nègre marron* by his people discourages all other similar existentialist adventures. One is almost sure that nobody else will be interested in a battle or a quest of the type that the *nègre marron* led, as the last sentence the novel shows: “Je suis, je serai le dernier Nègre marron d’ici-là... (211)/ I am and I will be the last *Nègre maron* of this place.... The actions of the *nègre marron* represent an assertion of the existence of the Francophone Caribbean, a diasporan existence which cannot be expressed through any other medium except resistance. In that respect, the Afro-Brazilian counter-part of the *nègre marron* is the *kilombo* who asserts the existence of the Afro-Brazilian community by “setting on fire and painting red the colonial society” (Harris 60).

## Conclusion

Raphaël Confiant’s *Nègre marron* tries to undo the Eurocentric influence that Western Modernity had on the representations of Africa in Western writings and in Caribbean Francophone writings. Through the character of the *nègre marron*, Raphaël Confiant shows that blacks can resist the enslavement and inhuman exploitation of the plantation system and fight for their rights, and for better conditions. Confiant’s *nègre marron* is not a black man who is in a constant pursuit of the white woman’s body. His priority in life is his combat against white injustice and only black beautiful and politically conscious women have the chance to get close to him, with the hope of giving birth to heroes like the *nègre marron*. Unlike the mentally enslaved black Caribbean who associates Africa with savagery, the *nègre marron* is proud of his African origins, and draws inspiration from them in time of serious combats and that emphasis on African culture places Confiant between Eurocentrism which his work refutes, and the Créolité movement which advocates the predominance of the Creole culture in Caribbean writings. The *nègre marron*’s political commitment makes him stand against European domination in the Caribbean, and it also makes him espouse the ideology of the working class and the victims of exploitation and segregation all over the world.

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## **BEYOND LINGUISTIC BORDERS: VISUAL POETRY AT THE CONFLUENCE BETWEEN THE WEST AND THE FAR EAST**

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### **Abstract:**

The present study calls into focus the poetic art promoted by the “new poetry” which appeared during the second half of the 20<sup>th</sup> century, known as *concrete poetry* or *visual poetry*. While globalising the possibilities of expression and communication of poetry, the “verbivocovisual” poetic formula offers itself as a theoretical model which redefines already established methods of producing and receiving the lyric text. It propounds an experiential-expressive model which broadens information on the materiality of language. Several examples of visual poems (in Portuguese, French and Japanese), which are subject to analysis in this study, attempt to certify that two apparently extremely different cultural universes, that use arbitrary signs in their script (the West) or pictorially meaningful signs (the Far East), might meet somewhere beyond their linguistic borders in the form of *visual poetry*. Its poetics may finally give birth to “common universal poetry”, semantically governed by innovative rules. The result of this analysis, undergone from an interdisciplinary perspective that joins the linguistic-semantic method with those given by cultural semiotics and art history, may materialise through the recovery, within the perimeter of the modeled world proposed by visual poetry, of the recurring motif which could be called “the moving line”.

**Key Words:** Cultural semiotics, concrete poetry, visual poetry, moving line

*Mono ieba/ Kuchibiru samushi/ Aki no kaze. (say something/ and the lips go cold:/ autumn wind)*

Matsuo Bashō, Japanese haiku

The 19<sup>th</sup> and 20<sup>th</sup> centuries, with their spectacular technological transformations, which brought about various changes not only in the fields of transportation and communication, but also in the humanities, in philosophy or psychology, inevitably influence the structure and behaviour of society. Culture, in turn, becomes the witness of this phenomenon. In visual arts, the impressionists devote more and more attention to the passing, ephemeral instant, and, later, Picasso and Braque’s cubism tries to create a world of four dimensions, dependent on the free integration of the different systems of simultaneous observation, which need the uninterrupted movement of the conscience or the mind (cf. Arima 1996: 149). While denying the exact reproduction of any entity in the objective world, the encompassing universe becomes, to the cubists, a subjective representation, through which the observing subjects attempt an “integrating synthesis” of a diversity of viewpoints. To accelerate this movement of the mind, Picasso, as an example, does not only introduce various techniques such as inversion, transposition, the cut, the absence of that particular thing which the eye is used to seeing in its own place, but he also inserts several materials, to which he later adds other various methods to permit the creation of the “true real reality” (Picasso, apud Arima 1996: 149). Comfort has been replaced by discomfort, and adventure has supplanted habitude.

Within the search initiated by the visual arts for an innovative plastic formula that would be able to convey emotion by essaying to revitalise the movement of the mind in this increasingly technologised new world one can find, moreover, the blueprint of a poetry that, similarly to cubism, provides the reader, who has also become viewer, with the liberty of an interpretation process. Inspired by the codes of various writing systems and considering the form of the written character and the graphical space as extremely important in the creative process, the new experimental poetry explores their signification potential by shattering the sometimes clichéd patterns belonging to

different cultures, and tries to construct an “utopian language” that wishes to exceed borders of any kind.

Adding to Heinrich Wölfflin’s work, who even as soon as 1908 anticipated a change of attitude towards the visual, predicting the public’s spectacular reception of cinematography, television and the computer, when the joy of watching tended to replace that of reading more and more, in 1954 Eugene Gomringer publishes his manifest *Vom Vers zur Konstellationem* (“From Verse to Constellation”), but without then using the phrase “concrete poetry”. This happens only later, in 1956, following his meeting the Brazilian group Noigrandes, that promoted the same poetic doctrine (see Solt 1971: 67). But in the 1950s and 1960s the term “concrete poetry” had “visual poetry” as a synonym and, because this appears to be much more suggestive in order to emphasise the visual component of this type of poetry, the latter has been chosen for use in the following text.

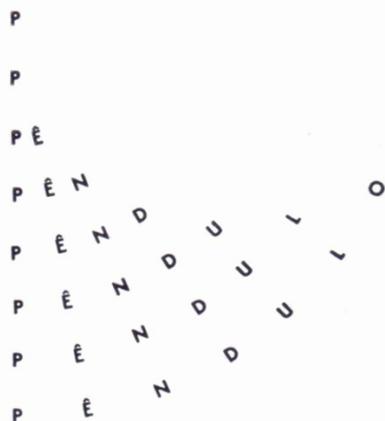
“Constellation”, a term borrowed from Mallarmé, becomes the key concept for the new poetic formula that wishes to induce change in the history of poetry: the letter engages in junctions of constellations with another letter, making an infinity of interactions possible between character, word and paper. Suspended syntax is replaced by the free play of linguistic material, a game that generally goes against the literarity of language, compelling the reader-viewer to adopt a type of receiving largely different from what he is used to. While ignoring an entire Occidental cultural tradition, this is the proposition of poetry where words can only be partially reproduced, where the usual, horizontal, left to right reading of the written sentence is no longer compulsory, and where the customary word order is categorically refused. The new poetry demands, through its aesthetic programme, not only the abolition of the verse and the organisation of the poem according to graphic criteria, in order to bring attention to the material aspect of the word, its plasticity and sonority, but also the elimination of any intra- and inter-propositional connector, to permit the direct relationship formation between words, and allowing the linguistic to intertwine with the non-linguistic (see Solt 1971: 67). Hence, the new poetic formula undoubtedly represents an unprecedented stimulation for the reader-viewer, who is called upon to join the game proposed by the graphic form of the words, challenged to discover “constellations” of associations and to create meaning. As it is eclectic not only in its manifestations, but also in its roots, it is considered that visual poetry finds its origins in Mallarmé, Joyce, Dada, Apollinaire, Maiakovsky, in Chinese ideographs and cubist painting.

Times now demand a hybrid art in which the mental can be considered visual, the “verbivocovisual” poetic form that promotes the abolition of genre purity and offers a theoretical model which redefines the already established methods of producing and receiving the poetic text. Proposing an experiential-expressive model that enlarges the information on language materiality, globalising its possibilities of expression and communication (cf. Solt 1971: 66), visual poetry tries to liberate words from their social code and seeks an iconic expression through various graphically representational methods. As such, through a special arrangement of letters, for example, achieved through procedures such as separation, inversion, transposition or omission of letters from their usual place (see Arima 1996: 151), the reader-viewer can become engaged in a fertile participation within the process of creating poetic meaning.

Generally, the material used by visual poetry remains the language, more accurately the word reduced to letter (which primarily addresses the sense of sight) or syllable (stimulating the sense of hearing); some poems use entire words, others prefer only fragments, according to the meaning one wishes to create. Availing itself of the fact that writing becomes conscious of the graphic space as a structuring agent of the poem through the resignation of the traditional verse form, visual poetry consolidates a poetic art where words or letters can be juxtaposed with not only other words or graphic characters, but also with the space of the page, considered as a whole. The meaning of a poem thusly conceived is created only following a full reading-viewing and assimilation, and it is offered rather for perception than for reading: a visual poem is to be received as a painting, while an acoustic one is listened to like music, and the reader actively takes part in the construction of the poetic meaning in the case of both.

The inevitable meeting of poetry and visual art is also meaningfully illustrated by the Portuguese visual poem *Pêndulo*, written in 1962, whose author E. M. Melo e Castro (1932- ) tries to reconfigure the material and conceptual reality of poetry, confronting the verbal with the non-verbal,

the symbolic image with the iconic one, time with space, alphabetic script with that of ideographic characters and, not lastly, human feelings and ideas with the staple of language.



Pêndulo – E. M. De Melo e Castro – 1962 (in „Ideogramas”)

Ignoring the fact that we belong by birth to a linguistic space included in the family of Romance languages which helps us, without previously have studied Portuguese, to understand the word “pêndulo” – so graphically similar to the Romanian “pendul” (“pendulum”) – we have the certainty that only the simple layout of the constituent letters directs any reader in the world towards easily guessing the meaning of the idiom. The arrangement born through the disposition of the graphical signs that form the word “pêndulo” enables the reader-viewer to immediately recognise the movement of the pendulum even before the image of the object itself. Defined by the dictionary as a solid object that can oscillate around a fixed point or a fixed axis when it is removed from the position of stable balance, the pendulum in E. M. De Melo e Castro’s visual poem seems to be trying to illustrate its own definition through the vertical created by the letter “P”, engaged in junctions with the other letters, disposed so as to depict the oscillation of the pendulum. More so than the reification of its language, or put differently, the transfiguration of the word into an object, the Portuguese visual poem is surprising because, unlike reality, where the pendulum swings on both sides of the position of equilibrium the graphic disposition of the letters manages to freeze the movement, offering the surveying eye an oscillation on only one side of the fixed axis suggested by the letter “P”. The static has activated the dynamic and the dynamic has revealed the static. Immobility has included movement and vice-versa. The moving line created by the special arrangement of the component graphic signs of the lexeme “pêndulo” seems to try reaching the “spirit of things”, as the poem transforms, through the moving line offered to the reading eye, into a meditation on form and on life, a reflection which bears within it the secret human aspiration of transcending the phenomenal aspect of things and contemplating at an infinitesimal scale the colossal, the infinite. The moving line, which traces outlines suggesting a surprising universe of signification, recovers, with the help of the reader, a world of concentrated emotion, of the creative thrill which was actually caused by something trivial. But movement is ultimately the guarantee of change, which the surrounding universe latently contains. Thusly, the visual poem brings into being an emotion for the reader-viewer, an amount of turmoil, awaking the realisation that everything passes through this world, be it object or feeling. The coordination, the synchronisation of feelings between people and objects, the mutual shaping that Japanese aesthetics calls “mono no aware” (lit. ‘the movement of the heart towards things’), this sadness of things which can also overpower the human individual, followed by a feeling of melancholy or of resigned solitude, can be vaguely revealed and partially solved through the moving line borne by the Portuguese visual poem.

But the pendulum suggested by the combination of letters can also be a component part of a wall clock, regulating the rhythm of its movement, while the new relationship instated between the linguistic material and the sheet of paper implicitly determines a new projection on temporal dimension. After the poem visualises the movement of the pendulum, it confers sonority to the ticking of the clock, and, through extrapolation, to the passing of time. The silence of time has gained a voice, the pendulum moves and speaks about the passage of man through this world. Through a metonymic process where the pendulum has been selected as representative part of a wall clock and through repetition, activated graphically, phonically and semantically, an extremely limited inventory of letters/ phonemes, finally reduced to a single lexical occurrence, has transformed into poetry.

The function of “absolute motivation” (cf. Miclău 1977: 178), recovered by the word through visual poetry, reminds one however of a quality that the Occidental script has lost throughout its history. Writing, one of the most important forms of human communication, through a set of visible marks related by convention with certain planes of language, comprises in its history two great directions: the Sumerian script and the Chinese script (see *The New Encyclopaedia Britannica* 1993: 1025). The former, also known as cuneiform writing, a symbolic script used in the 8<sup>th</sup> millennium B.C., has gradually passed from a pictorial form to an increasingly conventionalised one, the apex of its transformation being the invention of the Greek alphabet (later borrowed by other cultures), which was considered the great achievement of Western logical and scientific culture.

However, unlike cuneiform script, Chinese script has used, and keeps using to this day, pictorial signs to represent objects, created, as the legend says, by a mysterious four-eyed person and inspired, according to the same legend, by the tracks left by birds on the sand (see Kuiseko 2002: 8). The unity between picture (image) and writing is “a primary datum” of civilisations at the dawn of their existence, affirm the philosophers, a datum that the East has developed, refined and preserved (see Cornea 1988: 111). Chinese characters (that can be divided, in their turn, into pictograms and ideograms, pictograms being closer to the real referent than ideograms) constitute to this day not only support, but also an opportunity for spiritual meditation. Chinese script has subsequently been borrowed by Japanese culture, pictograms and ideograms actually being, for the aforementioned civilisations, a type of “graphic thinking” (Barthes 1970: 117). It doesn’t seem at all accidental then that the title of the cycle to which *Pêndulo*, the previously discussed Portuguese visual poem, belongs is “Ideogramas”. The visual poems that E. M. De Melo e Castro advances are aligned then to the poetic art of this “new poetry” as it had already been formulated a decade ago by its founders. Eugene Gomringer, attentive to the suggestions made by the science of linguistics, by analytical philosophy and by informational and semiotic theory on the process of disintegration and even disappearance of the word as part of the fundamental process of creation, tries to clarify the “autonomous structure” of language (cf. Mukai 1991: 64). Gomringer believes the form of the written character and the graphic space to be very important in the creative process and, to support his own theory, he will invoke Ernst Francisco Fenollosa (1853-1908), with his *The Chinese Character as a Medium for Poetry*, published by Ezra Pound in 1936, where Fenollosa considers Chinese characters to be in possession of the energy of the original language (cf. Fenollosa, apud Pound, 1936: 8-9). At the same time, Ezra Pound sees in these pictographs’ and ideographs’ power to invoke concrete images the spring of inspiration, or, to rephrase, a possible source of energy for a new type of poetry.

But the Far East, particularly Japan, had already been attracting the attention of the West for a century. The Japanese exhibit at the International Exposition of Paris, 1867, stirred a lot of enthusiasm during that age, as the records of the time suggest, bringing the culture of the Far East, which had remained nearly unknown until that date, to the European public. The event transformed, in fact, into the generator of a phenomenon that would bear the name “japonaiserie”. *Ukiyoe* (‘pictures of the floating world’) did not only gain the attention of the wide public, but also that of professionals, influencing the subsequent development of Occidental visual arts. Admiration for the Japanese woodblock print *ukiyo*e became so strong that it developed into the wish to reproduce these works through copying, Vincent van Gogh being one of the painters who practiced for this. Van Gogh’s sources of inspiration, signed, among others, by Hiroshige (*One Hundred Famous Views of Edo*) and Hokusai (*Thirty-six Views of Mount Fuji*), stirred the Dutch painter’s true enthusiasm:

“I envy the Japanese artists for the incredible neat clarity which all their works have. [...] It is simple as breathing, they draw a figure with a couple of strokes with such an unfailing easiness...” (Van Gogh, apud Walther 1990: 25).

His own works, like *Japonaiserie: Prunier en fleurs* (1887), *Le Père Tanguy* (1877) or *Portrait de l'artiste par lui-même, à l'estampe japonaise* (1887), do not however represent Van Gogh as a simple imitator, but as an interpreter of Japanese woodblock prints. The light touch of colour as it appears in Hiroshige's works becomes, in the case of Van Gogh, colour paste supporting the expansion of the self. The Dutch painter, then attracted by Japanese script, modifies the original format of the prints, enlarging the copy-reproduction through the calligraphy of an outline of ideographic characters. Vincent van Gogh, occidentalising the Oriental source material, was actually composing a bridge between two cultures, which had been considered extremely different up to that point.

In such a cultural and artistic context, the publication of the volume called *Calligrammes*, by Guillaume Apollinaire, with the proposition of a new poetic formula which experiments, among other things, with vertical writing, similar to the one in Japanese, is not at all surprising. Written between 1913-1916 and published in 1918, shortly before his death, Guillaume Apollinaire's *Poems of Peace and War* (*Poèmes de la paix et de la guerre*) was considered one of the most crucial works released during the war, even as soon as its publication (see Apollinaire 1971: 567). The poems, confesses the author, are “ideograms” that he “loves” as a “novelty of his spirit”, rejecting through this the accusation that had been brought to him, of being a “destroyer”. The attempt at innovation proposed by the French poet was based on neither the destruction of the classic verse or the old schools of plastic arts, but on the “construction” of the new through the “restoration” to life of the old (cf. Apollinaire 1971: 565). His own characterisation of calligrams in terms of “idealisation of the verslibrist poetry” (“une idéalisation de la poésie vers-libriste”) (Apollinaire 1965: 1078) at the dawn of a technological revolution that brought to the foreground mechanisms of reproduction such as the cinema or the gramophone shows that the poet has always wished to be a “creator” who tries to keep up with the times.

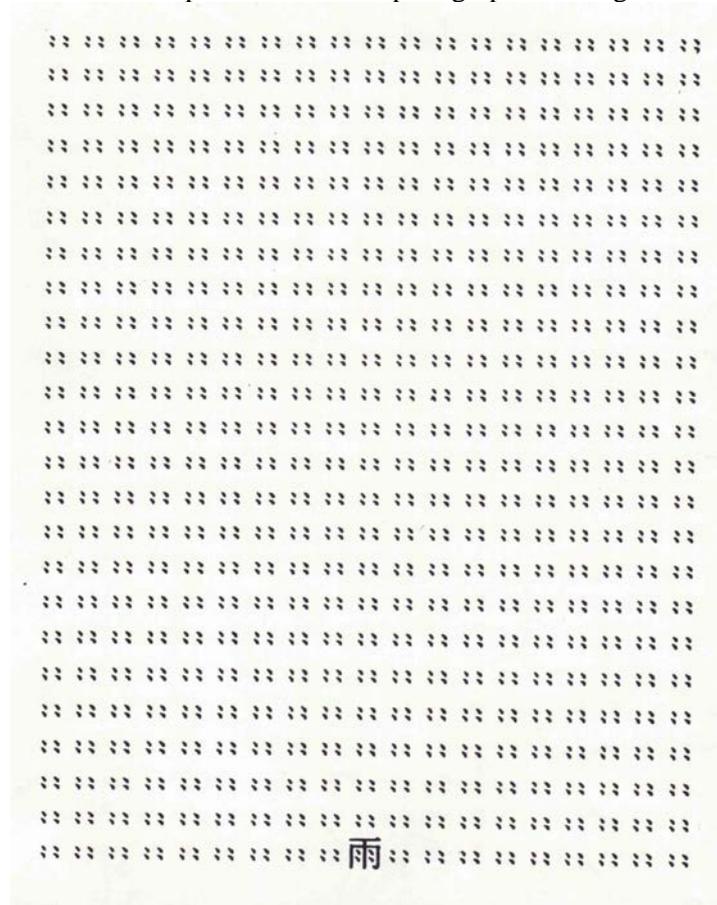
One of the “ideograms” from the *Calligrammes* cycle, the poem *Il pleut*, refusing an entire tradition, breaks the canons of the culture in which it was created and its verses unexpectedly flow vertically, in asymmetrical diagonals going upwards.



A *kanji*, interpreted as “moving picture” (Fenollosa, apud Pound 1936: 8), combines, at the same time, “the vividness of painting” and “the mobility of sounds”, and can become a particular “medium” for poetry. Fenollosa saw the Oriental pictograph and ideograph as a drawing similar to a film, and his attempt at presenting it to Occidental poetic theories tributary to the *logos* was seen by Jacques Derrida as the moment that determined the great “adventure” of the 20<sup>th</sup> century, known as “deconstructivism”:

„That is the significance of Fenollosa’s work. As is well known, he influenced the poetry of Ezra Pound. This absolute-graphic poetry, together with Mallarmé’s poetry, was the first break with the most fundamental of western traditions. And the attractive force with Chinese ideograms acquired from Pound’s writing gained intellectual-historical significance.” (apud Mukai 1991: 72)

Two cultures, which had been considered foreign for centuries, began to search for each other. It is said about Seiichi Niikuni (1925-1977), the founder of the Japanese magazine ASA (Association of the Study of Art), bearing the meaningful subtitle “Kūkanshugi” (“spatialism”), that he has given a new lease of life and beauty to the old calligraphic characters, as he found them perfect for the type of visual poetry (see Garnier, Niikuni 1966: *Préface*). Thus, Seiichi Niikuni’s poem *Ame* (“Rain”), published in 1966, is a visual composition that relays an admirable de-composition and re-composition of the elements that compose the Chinese pictograph meaning “rain”.



Seiichi Niikuni, 雨 (*Ame*) [The Rain']. 1966. *Japanische konkrete und visuelle Poesie*. Kunstverein Gelsenkirchen. 1978.

The only character used in this poem is nothing more than a hieroglyphic display of raindrops falling from the sky. The component strokes of the character, through their particular usage, remind, among other things, of the way in which this pictogram must have been formed, a fact almost forgotten today. The 23 horizontal lines that repeat the image of raindrops under the shape of two points written with a brush (in fact a constituent element of the *kanji* meaning “rain”) on 19 verticals could be a suggestion of the universe’s infinity. In the middle of the 24<sup>th</sup> row, the pictogram is

integrally reproduced, creating the impression that the rain has reached the earth from the sky through a perpetual fall. The only character written with all its components, placed halfway through the last line, seemingly swallowed by the nearly infinite repetition of the marks that suggest raindrops, but also emphasised by this unchanging repetition, becomes the image of a microcosm, of a shelter that may suggest that over there someone is quietly listening to the falling rain. The presence of the human element in the silent flow of rain is initially isolated, so that man can finally be integrated in the surrounding nature. The image of the world that resulted from this poem, which was built with surprising economy of means, comes very close to that presented by *haiku*, the 17-syllable Japanese poem, where, through diffusion, ineffability, and especially silence, one can achieve unity between an unending, varied and complex “seen”, and an invigorating, simple, and impenetrable “unseen”.

Although 50 years apart, Seiichi Niikuni’s poem and Apollinaire’s calligram belong to the same type of visual poetry, which have at their disposal the free arrangement of letters in the bidimensional space of paper, through the use of graphic form (cf. Mukai 1991: 59).

While trying to understand the way in which culture was created, maintained, and developed by man, who is capable of generating the most varied processes of semiosis, the branch of general semiotics known as cultural semiosis naturally directs research towards the language, signaling the special status that it occupies within culture, as poetic language is, to some researchers (see Ikegami 1991: 8-13), the most characteristic aspect of semiotic activity in which language is involved. Cultural semiotics and linguistic semiotics attempt, as such, to recover the mold of the world as configured by man and his spirit along history. But, if one is to invoke the equivalence between culture and language made by semiotics of culture, one is given to believe that the perspective of cultural semiotics can bring its own contribution to the advancement of study regarding visual poetry or concrete poetry:

„The study of concrete poetry, which emphasizes letters as materials, leads to the instinctive realization that it could well be based on the special qualities of a culture’s writing system and awareness thereof.” (Mukai 1991: 65)

Eugene Gomringer, in his 1954 manifest, through which he legitimised the birth of the innovative poetic form of concrete poetry, admittedly became a bearer of the conviction that the 20<sup>th</sup> century itself demanded new poetry and, in addition, even an “universal common poetry”. As he was searching for visual coherence, for graphism that could address the visible as easily as possible and that could combine extremely different graphic signs such as the alphabet and Chinese characters, Seiichi Nikuni comes to collaborate with the French poet Pierre Garnier (1928- ), and the two publish original poems of a “spatial” type together, in which the “weight” of the Latin alphabet is suspended by mobilising the letters in a “graphic movement”, through combining them with Oriental characters.

Seiichi Nikuni and Pierre Garnier’s visual poem, titled *Ciel. Poème franco-japonais*, published in 1966, draws attention by its composition joining two types of script.



Pierre Garnier, Seiichi Niikuni, *Ciel. Poème franco-japonais*. Paris, A. Silvaire. 1966.

The word *ciel* (“sky”), written in the Latin alphabet, and the Chinese character (called *kanji* in Japanese) 火, meaning “fire”, and, figuratively “life”, as in the following example: *Kodomotachi ga inakunattara ie no naka ha hi ga kieta you da.* (‘Since the children left, life seems to have gone out of the house.’), combine in a seemingly arbitrary manner in the texture of the poem, suggesting geometrical shapes like circumscribed squares and triangles, isolating even a circle-centre of the entire composition. The lines that lightly trace these visible or imaginary elements, sometimes clearly shaped, occasionally fading forms, result through the repeated writing of the term *ciel*. The letters that constitute the word become the multitude of points that gives birth to the line, directed horizontally and vertically, here forming the rigidity of the corner, and there the sweet roundness of the vaulted arch. *Ciel*, the only lexical selection from the French language vocabulary, obsessively repeated in the poem, is not always fully reproduced, which determines its being found in different sizes. In this way, it is easy for the line to close either in a right or acute angle, or to pull itself into a curve.

The blank spaces between the repeated word, fully or partially reproduced, also exploit the white of the paper. The “imaginary space” of which architecture speaks or the “white or empty line” from Japanese calligraphy, added to the marked lines, takes part in the configuration of a labyrinthine map which is reminiscent of that of the universe. Seemingly left to chance, the insertion of the Japanese *kanji* meaning “fire” and “life”, which, combined with the ideogram “hoshi” (‘star’), names the fire planet Mars, inside, but also on the outside of the drawing, with the accumulation of the pictogram somewhere on the left side of the map and suggesting the image of a black hole, imperceptibly induces energy to the map-design, setting it in motion. The lines have become one, a unique line propelled by a spiralling movement that soars, pulling the reader-viewer’s eye into its momentum, towards the infinite...

Beyond the different characters used to write such a poem, characters that are signification units in one cultural tradition while, in the other tradition, they are letters that arbitrarily represent sounds, poetry has become a space of convergence even for cultures whose scriptural expression is completely different. The moving line, recognisable in various forms of expression in this poem as well, develops an exciting act that creates meaning that recovers semantic continuity in places where, seemingly, only discontinuity can be made out.

And when everything appears as having meaning (cf. Lotman 1974: 76), whether it is an object or a poem, it finally becomes a cultural text that one must *know how to read* in order to understand. Human culture, being created on the basis of the semiotic system that natural language constitutes, leads the analysis of a linguistic fact to forwarding the study of a cultural fact and

inversely. Semiotics, a science considered to be part of the fundamental ones regarding man as *homo significans*, integrates other fields that try to understand the individual's purpose of being in the world, among which cultural semiotics can be counted. It ultimately raises the issue of human creativity or, put differently, of art – the artistic creative manifestation searching for the “path of elegance” (*fūga no michi*), as named by the father of Japanese haiku Matsuo Bashō, which emerges precisely out of man's freedom to confess or keep silent. The moving line, bringing and taking away with it meanings and meaningful breaks, words and silences, has generated poems that, beyond linguistic borders, made possible the meeting between the West and the Far East.

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## **INTERDISCIPLINARY ISSUES IN PUBLIC SPEAKING: PRELIMINARY REFLECTIONS ON ENTREPRENEURS' EXPERIENCE**

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### **Abstract:**

This contribution underlines how relevant interdisciplinarity and discourse contamination are in a 'hybrid' and/or 'contaminated' field of research and practice such as 'the public speaking domain'. The paper focuses on how entrepreneurs make sense of public speaking within their professional arena. Two different but complementary areas of study, namely linguistics and organisational behaviour, find here a common ground and share the same final objective, that is: investigating the way the pathos of public speaking varies according to business roles (e.g. sales person, buyer, consultant, etc.).

This study is based on a small study conducted in seventeen Italian SMEs. The sample is made up by 17 entrepreneurs running international firms in industries such as marble stone, steel, and waste recycling. The study takes a subjectivist, interpretivist stance as it is concerned with the way individuals portray their understanding and experiences through the social construction of meanings. The originality of this paper stands in the fact that the Authors look at public speaking, rather than public speech per se, adopting an entrepreneurship multi-disciplinary perspective, attempting to shed light on aspects not clearly identifiable by using more traditional lenses.

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**Key Words:** Interdisciplinarity, public speaking, entrepreneurship, entrepreneurial pathos

### **Introduction**

Modern public speaking draws its origins from the British School of elocutionists, among which we underline the importance of Sheridan (1762). He theorized the existence of two types of language, namely the 'language of ideas' and the 'language of emotions'. While the former enables speakers to manifest the thoughts which pass in their minds, the latter enables them to communicate to the audience the effects those thoughts have on their minds. By using those two types of language, in Sheridan's view the office of a public speaker is to instruct, to please and to move. The British School used those principles of elocution in investigative treaties, and for writing manuals for technical elocution (e.g. clerical elocution) and illustrative anthologies. The power of oratory, eloquence and effective speech became central at the beginning of the 20<sup>th</sup> century thanks to the efforts of the American Elocutionary Movement (Zanola, 2002). With the American tradition the relevance of effective speech expanded to the fields of medicine (e.g. lectures) and entertainment (e.g. theatre). Desire for education and the wish to be entertained contributed to the American elocutionists' success. Many people, often trained for professions such as medicine or the theatre, became 'teachers of elocution' in response to a growing demand for training in this field. Though, it was with Dale Carnegie (1913) that oratory and eloquence started to be considered applicable to the business domain from a pragmatic point of view. Notwithstanding the modern perspective that developed from the 19<sup>th</sup> century onwards, the basic components of public speaking still preserve elements of the classical tradition elaborated by highly regarded Roman orators such as Cicero and Quintilian. Invention, arrangement, style, memory and delivery (Covino and Jolliffe, 1995) and the characteristics of correctness, clarity, elegance and accuracy are still considered important canons of modern public

speaking. The studies that focused on public speaking both from a rhetorical perspective (Strike 1994; Lucas 1998; Coopman and Lull 2008; Kumar 2005; Esenwein 2009) and from a political and conversation analysis perspective (Atkinson 1984; Hammond 1993; Nielsen 2004) keep in consideration these traditional components.

In Business, the importance of public speaking has been acknowledged extensively by authors as, to name a few, Knapp (1969), Myers and Kessler (1980), Ober et al. (1999), Brooker Thro (2009), Cyphert (2010). Their studies emphasize aspects that span from the role of public speaking for successful business practices all the way to the rhetorical aspects that characterize business speech; and from the key themes that emerged from corporate leaders speeches all the way to the effects of certainty (e.g. profit status, industry type) on public business communication outcomes. While extant literature has paid attention to the constituents of the public speech *per se* and to the nuances it takes when deployed for business objectives, little emerges on the way speaking in public is interpreted by those who perform it, and on the extent to which its performance serves a wider range of purposes rather than those strictly linked to business. In attempting to fill this gap in an interdisciplinary perspective, this study looks at the way entrepreneurs, as a particular category of 'business men', understand and explain public speaking within their professional arena.

### **1. *Interdisciplinarity and contamination in applied linguistics: a definition***

Interdisciplinarity is a concept widely applied to recent approaches to public speaking in business communication (Zanola 2012), where financial specialized discourse matches with oral fluency and competence in discourses that require both financial and linguistic experience. The 'public speaking' genre is an interesting example of a 'contaminated area' of study: the word *contamination* is widely used in medicine, chemistry, biology and music but has been applied more recently to the linguistic and literary area (Hartmann/Stork 1972; Matthews 1997; Pei/Gaynor 1954). In manuscript tradition, for example, it is considered as a blending whereby a single manuscript contains readings originating from different sources or different lines of tradition. In literature, contamination refers to a blending of legends or stories that results in new combinations of incident or in modifications of plot. In linguistics, the word takes different connotations according to its area of usage, namely among phonetics and phonology, syntax, and semantics. The public speaking domain is among the most hybrid, heterogeneous and 'contaminated' genre.

Our short contribution is aimed at describing a new productive and rich area for interdisciplinary research, trying to underlying some new perspectives of analysis, which could be useful to both linguists and business experts.

#### **1.1. Interdisciplinarity**

The nature of any interdisciplinarian activity was analyzed in a complex philosophical context by Finkental (2001), who concluded his book entitled *Interdisciplinarity: toward the definition of a metadiscipline?* by declaring that interdisciplinarity may at times be very successful, even though many interdisciplinarian activities lead to confusion and deep antagonisms between different cultures. Interdisciplinarity as a metadiscipline seems still to be defined.

In a more recent overview of the problem - applied to the academic research and practice -, Orland underlined that most academic research is conducted within a single traditional academic discipline or sub-discipline, with the researcher working alone or with one or two colleagues.

This structure is functional for the continued development and growth of academic fields and sub-fields, as well as for rewarding individual researcher productivity. However, it is not well-aligned with the nature of most problems which require knowledge expertise from multiple disciplines and therefore disciplinary collaborations involving many researchers and research traditions (Orland 2009: 118)

Analysing public speaking in business contexts requires interdisciplinarity. We are underlining here the paucity of usable analytical frameworks in the field and we hope we will

contribute to develop relevant interdisciplinary analyses of language, which may turn the insights of linguists into comprehensible and usable forms.

## 1.2. Contamination

When referring to new and current models of genres and subgenres, the adjective ‘contaminated’ is often used (Zanola 2011). ‘Contamination’ is sometimes used in linguistics to refer to hybrid texts. Leonard Bloomfield declared its relevance in linguistics many decades ago, and in more than one field of linguistic studies. As for phonetics, for example (Bloomfield 1933: 423) :

Psychologists have ascertained that under laboratory conditions, the stimulus of hearing a word like ‘four’ often leads to the utterance a word like ‘five’ – but this, after all, does not account for contamination. There is perhaps more relevance in the fact that contaminative “slips of the tongue” are not infrequent. (Example: I’ll just GRUN (GO plus RUN) over and get it)

In syntax,

Innovations (...) sometimes have a contaminative aspect. The type “I am friends with him” and “We are friends”. Irregularities such as the “attraction” of relative pronouns seem to be of this nature.

As for semantics, So-called popular etymologies are largely adaptive or contaminative. An irregular or semantically obscure form is replaced by a new form of more normal structure and some semantic content (...). Thus, an old SHAM-FAST ‘shame-fast’, that is, ‘modest’, has given way to the regular, but semantically queer compound SHAME-FACED.

In principle, contamination means here ‘adaptation’ (Bloomfield 1933: 521), as widely recognized in the literature (Hartmann & Stork 1972: 51; Hock 1986: 197-198; Lehmann 1992: 223-224; Matthews 1997: 72; Nash 1968: 43; Pei & Gaynor 1954: 47). We will not take into consideration here non-literary meanings of the word, such as ‘illness’, or ‘pollution’. By ‘contaminated genre’ this paper refers to the hybrid nature of public speeches, which may be considered as a blending of varied and multiple competencies. Business speakers (namely, entrepreneurs in our research) face many difficult complexities, because the situations about which they speak are often ambiguous, depending also on different perspectives. When the speaking process itself is complex because of genre expectations or collaborative project requirements, the speaker faces additional challenges. The genre may privilege or constrain choices in style, organization, scope, and content.

## 2. Entrepreneurs’ public speaking

The research on entrepreneurs’ public speaking offers a limited range of specific contributions. Studies in the field tend to highlight either the technical skills required for successful public speaking in business, or the symbolic aspects that entrepreneurs evoke for their speeches to be persuasive. Studies that reflect the former trend focus on the nature of oratorical skills and on the possibility of transferring those skills from political oratory to the management community, to which entrepreneurs are loosely associated by this tradition. Within this stream Greatbatch and Clark (2005) stated how “oratorical skills are universal regardless of the context within which a speech is given” (Greatbatch and Clark, 2005, p. 12). Despite acknowledging the importance of studies of this nature for deepening the understanding of public speaking in the management community, we must consider that the figure of the entrepreneur is quite peculiar compared to that of the manager. Without intending to expand into entrepreneurship literature, we provide a key definition aimed at illustrating what characterizes entrepreneurs. A distinctive feature of entrepreneurs is that they are part of the “complex process of new venture creation... [the entrepreneur] is viewed in terms of activities undertaken to enable the organization to come into existence” (Gartner, 1988, p.57). This particular feature can embed risk-taking (Brockhaus, 1980), belief of being in control (Brockhaus, 1982), need for achievement (McClelland, 1965), strong creative tendency (Ward, 2004) and need for autonomy (Hornaday and Aboud, 1971) all aspects that specifically characterize the figure of the entrepreneur. Drawing on those considerations, a more focused reflection on the impact of oratorical skills on entrepreneurs has been provided by Putnam and Fairhurst (2001). These two authors reflect on the institutional legitimacy of entrepreneurs from a sociolinguistic point of view. In particular, they argue

that entrepreneurs' speech embeds cultural codes that appeal to the public legitimizing their role. The recurrence to such codes manages the impression that the entrepreneur portrays to the audience. Oratorical skills have also been associated with entrepreneurs' success (e.g. recognition of a successful opportunity, successful exploitation of an opportunity). In particular, in their study on the embodied metaphors in the speech and gestures of entrepreneurs, Cienki, Cornelissen and Clarke (2008) argue that entrepreneurs' speech tends to evoke experiences particular to the life and situation of the speaker. This, in turn, makes arguments persuasive to relevant others (e.g. employees, prospective investors). Drawing on those conclusions, Cornelissen and Clarke (2010) also suggest that "individual entrepreneurs use certain forms of speech – specifically, analogy and metaphor – to induce an opportunity for a novel venture" (Cornelissen and Clarke, 2010, p. 539) and to establish shared understanding, support and legitimacy. These two authors conceptualize how language and thought interpenetrate in context and how the meaning entrepreneurs want to share is a result of interactions with others.

Notwithstanding the attention paid to the role of public speech when looking at entrepreneurs, extant research does not clarify how entrepreneurs interpret the actual speaking in public and whether, by using this form of communication, they only aim to achieve support and legitimacy or to portray other aspects of their profession. With this in mind, our paper aims to address the following research question: what meaning do entrepreneurs attribute to speaking in public within the context of their role, and with what implications? Before illustrating the data we collected, in the next section we discuss the context in which we conducted our research as well as the methodological underpinnings that inspired it.

### **3. Research context and methodology**

Our study was conducted at the end of 2010 in seventeen Northern Italian SMEs (Mercado, Welford and Prescott 2004) operating in various sectors, namely: automotive, steel, marble, cosmetics, waste recycling, renewable energies, financial/insurance, marketing and communication, services, textile, stationery, jewellery, luxury goods, and food. Ten of the SMEs in our sample are based in Lombardia while seven are based in Veneto. All of the businesses in our sample export outside Italy.

We adopt an interpretive and qualitative approach. Careful attention was given to the uniqueness of the research experience and to the richness of the data that we collected. The inductive approach made it necessary to interpret and analyse new conceptual elements while they were emerging. The empirical research aimed at emphasizing the ways in which individuals interpret their social world (Bryman 2008). The case study design enabled us to investigate our research problem paying attention to the role of the setting in understanding the phenomenon in question (Yin, 1994; Eisendhardt, 1989). We chose a mix of convenience and snowball sampling (Bryman, 2008). The former enabled us to select people on the basis of their availability, while the latter enabled us to make initial contact with a small group of people who were relevant to our research topic and then used this to establish contact with others (Bryman 2008). We carried out seventeen semi-structured interviews within the seventeen SMEs in our sample, for the duration of no less than one hour each, for a total amount of about thirty hours of recorded data. We interviewed the owners, all women, of every firm without facing any major access issue, apart from needing to reschedule the interview date because of the busy diaries of our interviewees. Interviews were carried out in Italian as this made our interviewees more relaxed. Subsequently, interview extracts were translated into English, reflecting as carefully as possible expressions, words and meanings actors portrayed in their accounts. We drew on both Halai's (2007) and Hernandez's (2010) contributions to carry out the transcription, translation and transliteration of the interviews in an accurate way. The final translated material resulted into a transmuted text that reflected the original although it had been recreated. Interviewees' names have been omitted to ensure anonymity. The table in Appendix provides details on the age of our interviewees and on the size, year of foundation, sector and region in which every company operates.

### Appendix - Sample Information

Interview sequence number	Interviewee's age	N. of employees working in the company	Year of foundation	Sector	Region
1	59	20	1990	Automotive	Lomb.
2	56	30	1989	Marketing and Communication	Lomb.
3	50	100	1960	Steel	Lomb.
4	55	50	1969	Cosmetics	Lomb.
5	32	200	1950	Steel	Lomb.
6	39	20	1774	Luxury goods	Lomb.
7	45	25	1987	Waste recycling	Lomb.
8	46	200	1950	Marble	Lomb.
9	54	50	1970	Financial Services	Lomb.
10	45	20	1989	Financial Services	Lomb.
11	42	30	1990	Clothing	Lomb.
12	52	35	1992	Financial Services	Veneto
13	47	40	1985	Food	Veneto
14	60	42	1986	Food	Veneto
15	65	100	1950	Textile	Lomb.
16	51	38	1995	Cosmetics	Veneto
17	35	12	2001	Food	Lomb.

The approach to data analysis draws on the research of Lofland and Lofland (1995) and Bryman (2008) with regard to general coding of our qualitative data. We also followed Ryan and Bernard's (2003) recommendations paying particular attention to repetitions, indigenous typologies or categories, metaphors and analogies, transitions, similarities and differences, linguistic connectors, missing data and theory-related material. This approach provided us with some pointers for organizing our analysis. In terms of the validity and reliability of our study, we refer to LeCompte and Goetz (1982) whose seminal work clarifies the different priorities qualitative researches have compared to quantitative ones in terms of those issues. From the validity perspective, apart from continuously adjusting the constructs while carrying out the study, we aimed to data accuracy by routinely asking for clarification during the interviews themselves. We aimed at focusing on the sense of what each interviewee said. We were particularly alert in asking every time what exactly words used in the workplace everydayness meant to them, also avoiding attributing our own meaning to those words. Moreover, specific feedback sessions were carried out by the research team in order to categorize the data.

#### 4. Findings

For understanding the way entrepreneurs interpret public speaking within the context of their role and the implications that derive from it, firstly, we looked at what our interviewees meant by this form of communication and in what settings they used it; secondly, we looked at what exactly characterized it, according to our participants' accounts. To provide examples of those trends we used our participants' interview extracts. The purpose of this section is to illustrate some of the data we collected. Our interdisciplinary reflections on the data corpus will be highlighted in the 'conclusion' section.

## 5. Speaking in public: what it is and in what settings it occurs

Following we highlight some of the quotes in which interviewees specify what they mean by public speaking. One of our study participants who owns a waste recycling company, explains:

For me public speaking is the way an entrepreneur addresses his or her audience. This audience can be characterized by a group of clients, a group of people that join her same professional association, her employees, her investors...

A similar definition was provided by another interviewee who owns a steel company. He suggests:

When I talk about entrepreneur's public speaking I refer to the way we talk when we have to get a message across to our colleagues, employees or clients.

Also another entrepreneur operating in the steel sector who took part in our study, clarifies: It is wrong to think that public speaking takes place only if a person addresses a large audience. In my opinion speaking in public is when I try to get a message across to people in a board meeting, or in a team meeting, or when I communicate with a group of employees or even when I am invited to talk about my company by voluntary associations, for example. All of these settings represent the arena for... eh eh eh... entrepreneur's public speaking.

The owner of a textile company, makes a similar point with regard to the size and variety of the audience:

In my experience public speaking happens either when I address a limited number of people at one given time... and this can occur in meetings with clients, Union representatives, employees... or when I address a large class of university students.

A more extensive explanation on when to refer to public speaking is provided by the owner of a Marble company:

Neither the size nor the type of the audience define the situations when we can refer to public speaking... My view is that this occurs when you talk to the stockholders' assembly as well as when you address three employees. In the past, public speaking was associated to politicians or lawyers... emh... I think that that wasn't accurate. Public speaking happens every time that you have a point, a message that you want to get across to a group of people, from three all the way to one thousand, you know what I mean?

According to all the sample participants public speaking is not defined by the size of the audience; rather it is about getting a message across to an audience that can vary in size but also in nature. An entrepreneur in the cosmetics sector, takes this point forward by mentioning the importance of speaking to key people rather than to great numbers. In her words:

You see, I think that a public speech has to be studied, prepared, thought and build ad hoc. It has to achieve the company's selling objective, disregarding the number of people that constitute the audience. Even a public speech addressed to two or three key people can have a decisive role in the success and pursuit of the company's objective.

In our interviewees' accounts the settings in which public speaking can occur vary from those internal to the organization (e.g. board meetings, team meetings) to those external to it (e.g. universities, voluntary associations). After learning about how our sample participants define public speaking as well as the variety of settings in which they use it, we moved on to explore what, in their views, characterized this form of communication. In the next section we illustrate some quotes that addressed our interest on those matters.

## 6. What characterizes public speaking according to the sample participants

In terms of the elements characterizing public speaking our interviewees referred to its key components, such as speech construction (opening, body, closing of the speech; working outline, formal outline, key-word outline), delivery (body language; visual aids), and argumentation

(informative vs. persuasive speaking; patterns of reasoning; developing evidence and proofs). The importance of those aspects was underlined by all the interviewees. For example, the delivery component was considered significant. All interviewees agreed in giving a transitory and temporary role to their background in public speaking; admitting at the same time that, in spite of that, oral communication for their professional purposes is permanent or, at least, has a permanent effect on the listener. This is how an entrepreneur in the automotive sector, frames the component of delivery:

Delivery is crucial in public speaking. I think of it as a music, a tune. I carry in my mind the music that I want to play and then my voice... the metaphors I use... my gestures... all these things become fundamental. These things enable me to deliver my tune. Delivering a public speech is also about setting the rhythm, the tempo, the pauses, the silences... it's a music. Sometimes I speak on the basis of a music that I have written beforehand, while some other times I just improvise... but even when I improvise, it's always on the basis of the music that I feel inside, that I have in my mind, and that I want the audience to learn.

As hinted in the above quote, voice and gestures are a fundamental tool. Interviewees revealed that these aspects are important for fighting against the irreversible timed nature of the oral messages. In our sample effectiveness in oral communication in general, and in business communication in particular, might be compromised unless it is combined with variations in the speaker's voice and body movements. This is how another sample participant, an entrepreneur operating in the food sector, explains the relevance of voice and gestures in public speaking:

Speaking in public is like showing to others a path that only I know well. A path of which I know the end, I know where it takes. It's a path on which I have to take the audience... of course the extent to which I deviate from it is related to the type of feeling I create with the public... and I can create the right feeling not only with my message but also with my voice, my gestures. These elements are crucial for getting my point across, for showing the way to my audience, for ensuring the effectiveness of my speech. The right tone of voice, the right gestures... I mean the most appropriate ones for that particular type of message... all of those things impress, stamp the message in people's memory... the audience will remember.

In addition to the components of public speech (e.g argumentation, delivery), interviewees highlighted a second set of elements they illustrated as important in the entrepreneur's way of addressing an audience, namely: sense of welcoming, emotions and emotion transfer, emphasis on people, spontaneity, self-confidence, and the search for audience's confirmation. Following there are some vivid and energetic examples of how our sample participants illustrated their views on this subject. This is how the owner of a financial services company emphasizes the role of persuasion in argumentation:

The speech deals with economic and normative issues and audience persuasion is its purpose. In my public speeches I always start from normative texts which represent my point of reference; then I explain and spread those contents to the audience (even to those audiences with no experience in the field). If the audience reacts as I would have wanted, then it means that my speech worked, my argumentation worked. One can be more persuasive by aiming to the interpersonal and emotional aspect.

One of our interviewees that owns and runs a marketing and communication company, argues that:

Entrepreneur's public speaking is strongly characterized by a sense of welcoming that is often underestimated. When we talk, this sense, this spirit of welcoming reaches our audience... moreover, entrepreneurs have to show their concern for people, the importance of people and their contribution to the organization.

From a similar perspective, a study participant who owns a financial company explains the presence of emotions in public speaking:

Entrepreneurs let their emotions emerge from their speeches. When I talk I transfer all the passion I have for my profession and for my business to my public. These emotions enable me to be impressive. The leverage that are commonly advertised as typical of entrepreneurs speeches for catching the audience are just too general... competition, challenge... you know what I mean. Do we have to conform to those aspects to be effective in getting our message across as entrepreneurs? Says who?

Another interviewee who works in the financial sector, too, illustrates the characteristics of self-confidence and self-esteem:

I believe that entrepreneur's public speaking is characterized by the presence of self-confidence and self-esteem. The background knowledge is important but showing that you are convinced of what you're talking about makes the speech more effective. The audience perceives the content of the message but also, and mostly, the spirit that inspires it. This spirit reaches the emotional sphere, directly. It involves the listener. Even if listeners disagree with the argument they still perceive how important that is for the speaker and in general how important it is to acknowledge it, to discuss it, to talk about it.

With regard to the aspects of spontaneity and constant search for audience's confirmation as well as control, an entrepreneur operating in the steel sector explains:

I have to say that spontaneity and search for audience confirmation are the aspects that characterize entrepreneur's public speaking. Spontaneity is driven by the passion of being an entrepreneur, of believing in one's venture... at the same time the reaction that comes from the audience channels the way one sends the message.

## **Conclusion**

We have illustrated the findings related to our interviewees' accounts on what public speaking is, in what settings it occurs and what characterizes this type of communication. Our aim was understanding the way entrepreneurs make sense of public speaking keeping in mind that the uniqueness of individuals' social context was an influential factor in the creation and development of our interviewees' accounts. The key aspects shown in our data suggest that for our sample participants public speaking is about getting a point across, sharing a rhythm, showing a path to others, creating a feeling, persuading, welcoming, and transferring passion for one's profession. At a first glance these points can be seen as consistent with the general canons associated to the role of a public speaker noted earlier in the paper. Though, we would look at this from a different perspective arguing that, if linked to the entrepreneur, each of those key aspects reflects the passion and the emotional component embedded in this role. Rather than exclusively considering entrepreneurs' use of oratorical skills (Cienki, Cornelissen and Clarke, 2008; Cornelissen and Clarke, 2010) and the importance they attribute to the normative component of a text - which we still acknowledge as important - we suggest reflecting on how actually just the fact of being an entrepreneur gives a specific pathos to public speaking which is different from that that any other speaker in a different role would give to this type of communication. The emotion that drives the entrepreneur as a risk-taker, as a person in control, as a person with a strong creative tendency, and as a person in need for autonomy reflects on his/her interpretation of public speaking, thus, turning this type of communication into a medium for sharing a path, a rhythm and ultimately a passion.

This view can suggest that for entrepreneurs public speaking may not only be about transferring a message or legitimizing one's position; it can also be about moving into the audience the same feeling that animates them. The latter might not be a mere means to the end of winning the interlocutors' trust and understanding but a way for sharing the entrepreneurial passion per se. There are two implications that emerge from this reflection. The first one is that, within the wide arena of business, the speaker's professional role influences the pathos associated to the performance of public speaking. In turn, this sets the emotional antecedent of the process of construction of meaning between the speaker and his/her audience during a speech. Drawing from the professional role, we believe that this type of antecedent is different from both the actual emotion that the speaker feels right before starting a speech and that may influence the outcome of it (on this matter extant literature

has widely explored the issue of public speaking as a fearful social situation, and of emotion regulation behaviours aimed at reducing anxiety and the occurrence of fearful thoughts experienced by the speaker while performing the speech - Pertaub, Slater and Barker, 2002; Hofman and Marten-DiBartolo, 2000; Egloff et al. 2008; Bodie, 2010) and the traditional rhetorical appeal to emotion that speakers use to win their audience. Particularly we would argue that, whether it is deliberate or not on the side of the speaker, the emotional antecedent we are referring to relates to enduring together with the audience the interpretation of one's professional role.

The second implication that emerges from our reflection on entrepreneurs and public speaking has a more pragmatic unfold and is addressed to public speaking trainers. Traditionally, the main aspects for training people in public speaking tend to focus on managing visual contact, managing the speaker's emotions, structuring the message effectively, developing personal charisma, and using gestures and non-verbal behaviour coherently (Osborn et al., 2008; Lukas, 2007; Ekman, 2003). Targeting those strategies in light of trainees' professional roles can increase the salience of the training outcomes making the benefits of the training activity fit for purpose.

### **Research challenges and suggestions for future research**

Our findings are based on in-depth data from a small sample and pertain to Italian entrepreneurs; the implications of aspects such as gender, age, family background would require further research to identify. Exponents of case study research (Yin 1994) suggest that it is not the purpose of this research design to generalize to other cases or to populations beyond the case (Bryman 2008, p. 57). However, it is suspected that some elements of it are likely to be representative of the experiences of individuals within similar contexts. The reflections that emerge from our paper may suggest investigating the way the pathos of public speaking varies according to other business roles (e.g. sales person, buyer, consultant, etc.).

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## THE CHAT BOX REVELATION ON THE CHAT LANGUAGE OF FLEMISH ADOLESCENTS AND YOUNG ADULTS

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### Abstract:

In his article ‘Tussentaal wordt omgangstaal in Vlaanderen’, De Caluwe (2009) states that interlanguage is becoming the common colloquial speech in Flanders. He uses the four features put forward by Lemahieu (2008) as his main arguments. Although Lemahieu focused on spoken Standard Dutch, these features can also be used for research of written interlanguage. This contribution examines chat language of 60 subjects, both male and female, within the five Flemish provinces (West Flanders, East Flanders, Antwerp, Flemish Brabant with Brussels and Limburg). Next to gender and geographical divisions age is also taken into account. The research is based upon several online chat conversations that were fragmented and analysed. The analysis of the above-mentioned variants per participant, age and province gives an idea of the presence of interlanguage. The variants of Lemahieu are therefore an interesting tool because they provide data regarding how many times a representative selection of Flemish chatters with regard to a set of variants choose to use interlanguage in a situation in which they have the choice to use inter- or Standard language. The conclusion resulting from this research reveals that there are indeed regional variants and there is a high percentage of interlanguage, but Standard Dutch still prevails. Therefore, it is claimed that chat language does not impoverish the standard written language, but enriches it and that it rather should be considered as change in progress.

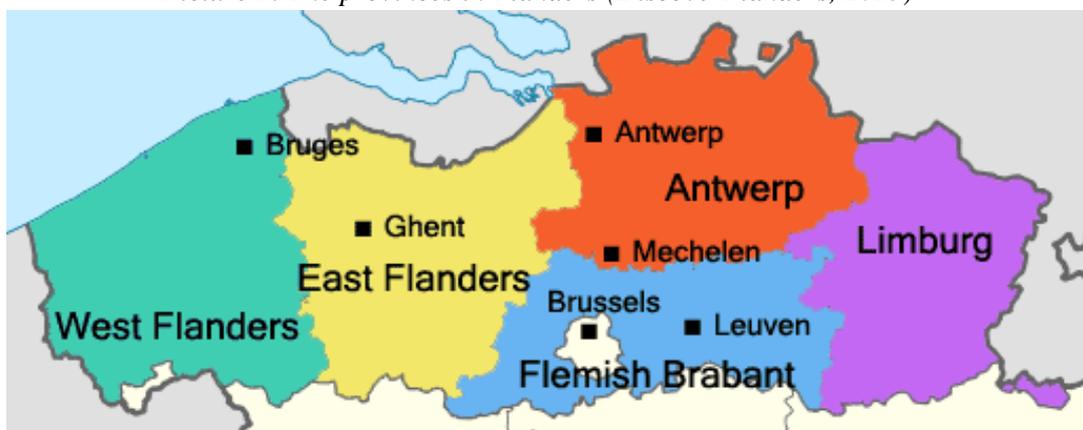
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**Key Words:** Written Interlanguage, chat language, change in progress, Flanders

### Introduction:

De Caluwe (2009) states that interlanguage is becoming the common colloquial speech in Flanders. This contribution investigates this claim on the basis of the so-called ‘four variants of Lemahieu’ (2008). While Lemahieu investigated the spontaneous conversations between age1-speakers, this research takes a closer look at the written chat language of 60 male and female adolescents and young adults from the five Flemish provinces (West Flanders, East Flanders, Antwerp, Flemish Brabant with Brussels and Limburg).

*Picture 1: The provinces in Flanders (DiscoverFlanders, 2013)*



Contrary to the studies by Lemahieu (2008) and De Caluwe (2009), the subjects in this research were not obliged to use Standard Dutch. According to Vandekerckhove & Van Rooy (2005) this will result in the use of a kind of ‘common Flemish’ language with a strong Brabantian influence (also called ‘interlanguage’) instead of Standard Dutch or dialect. Next to gender and geographical divisions, age is also taken into account by dividing the subjects into three age groups: from  $\pm 15$  to 20 years old (adolescents), from 21 to 25 years old and from 26 to 30 years old (young adults). The four variants of Lemahieu will be investigated per province, age group and gender. These variants are an interesting tool for this investigation, as will be shown and explained later on in this contribution.

### Research:

#### Objective:

The objective of this research is to examine chat language of 60 male and female subjects from the above-mentioned five Flemish provinces on the basis of Lemahieu’s four variants. An example is given for each separate variant.

- First, the first variant is applied on the chat language of the above-mentioned subjects. I wondered whether the diminution of the Standard Dutch *-je* or the Flemish interlanguage *-ke* is used the most and where this happens.
  - Standard Dutch: *huisje* (little house), *boompje* (little tree)
  - Flemish interlanguage: *huiske*, *boomke*
- Next, I took a closer look at the use of the Standard Dutch *je*-system and the Flemish interlanguage *ge*-system. It can be compared to the Standard English use of ‘you’ in formal and informal situations, and the English interlanguage form ‘ya’ in informal situations.
  - Standard Dutch: *je*, *jij* and formal *u*
  - Flemish interlanguage: *ge*, *gij* and *u* in both formal and informal language use.
- Afterwards, the inflection of articles, possessive and demonstrative pronouns is looked at.
  - Standard Dutch: *een grote hond* (a big dog)
  - Flemish interlanguage: *ne groten (h)ond*
- Finally, there will be a focus on the use of a redundant ‘dat’ (*that*) with conjunctions and pronouns.
  - Standard Dutch: *ik weet niet of dat kan* (I do not know whether that is possible)
  - Flemish interlanguage: *ik weet niet of dat dat kan*

#### Material:

The research is based upon several online chat conversations, collected in 2010 and 2011, that were fragmented and analysed on the website <http://www.chat.to.be>. This ‘chat channel’ was chosen because of the possibility to log in to a specific provincial chat room. Because the chat room ‘obliges’ you to participate actively to the conversation(s) (after a silence of twenty minutes the person gets ‘kicked out’ of the chat room), I decided to focus on ‘private chat conversations’. By doing so, I could easily chat with both male and female subjects and analyse their personal language use. My utterances, which were written as faithfully as possible in Standard Dutch, were not taken into account in the final research. Remarkably, no significant differences in the subjects’ language were found when I wrote in Standard Dutch or, in a later stage of the research, Flemish interlanguage. This means the subjects did not switch from Flemish inter- to Standard Dutch language or vice versa when I did so.

To avoid the so-called *Observer’s Paradox* (cf. Labov, 1972) the objects were not informed on or about this research because it might have influenced their spontaneous language use. Because all the subjects used nicknames and no personal details were given, no violations on privacy have occurred. Nevertheless, a remark needs to be made. The information for this research is based upon the information given by the subjects. It is fairly easy to fake an identity in this online world and

pretend to be someone else in this specific environment. Therefore, this research is mainly based on the information given by registered members, trying to avoid the amount of fake information.

### **Methodology:**

The analysis of the above-mentioned variants per participant, age and province gives an idea of the presence of interlanguage in the different Flemish provinces, age categories and among the different genders. The variants of Lemahieu (2008) are therefore an interesting tool because they provide data regarding how many times a representative selection of Flemish chatters (60 subjects) with regard to a set of variants (Lemahieu's variants) choose to use interlanguage in a situation in which they have the choice to use Flemish inter- or Standard Dutch language.

An example is given to illustrate: when looking at the following sentence in 'Flemish interlanguage', one can wonder whether all the words in this sentence are indeed written interlanguage: '*Ge kan dat niet*' instead of the Standard Dutch '*Je kan dat niet*' (*You cannot do that*). Only the 'ge' in the first sentence can be categorized as being 'interlanguage'. The other words are written in the same way as in the Standard Dutch equivalent. Therefore  $\frac{3}{4}$  of the sentence is still considered to be Standard Dutch.

### **Results:**

In this research the chat language of 60 subjects was investigated on the basis of four features, which lead to the following results:

- The provinces Limburg and West Flanders constantly use the diminution on *-je*. This applies to both genders and all age categories. The other provinces use a higher percentage of the diminution on *-ke*.
- The subjects using the official Standard Dutch *je*-system are all adolescents in Limburg and all subjects in West Flanders. Antwerp was the only province in which all subjects used the *ge*-system. No significant differences were found concerning the different genders.
- When looking at the inflections, different results were obtained, even within the provinces themselves. Nevertheless, as with the diminution and the *je*- or *ge*-system, no significant differences were found between the male and female subjects:
  - An inflection of articles was present in the provinces Antwerp and Flemish Brabant. In East Flanders an equal amount of inflections and Standard Dutch use of articles was noticed.
  - The possessive pronouns were inflected in Antwerp, Limburg and Flemish Brabant and with the oldest young adolescents in West Flanders. The adolescents and second age category in this last province equally inflected the possessive pronouns and used the Standard Dutch form. This was also the case for all subjects in East Flanders.
  - The demonstrative pronouns were inflected in Antwerp and Flemish Brabant and with the third age category in East Flanders. In Limburg only the third age category made the inflections and did this as much as they did not.
  - The adjectives were inflected in Flemish Brabant. This also occurred in Antwerp and East Flanders, but the amount of inflections and the Standard Dutch use of the adjectives were equal. Limburg and West Flanders did not inflect the adjectives at all.
- The redundant 'dat' (*that*) occurred in the provinces Antwerp and Flemish Brabant. In Limburg and West Flanders it did not. In East Flanders only the adolescents made the inflection, while the young adults had an equal amount of inflections and Standard Dutch utterances. As with the other features, no significant differences occurred between the male and female participants.

**Conclusion:**

The conclusion resulting from this research reveals that there are indeed regional variants and there is a high percentage of interlanguage, especially in Antwerp and Flemish Brabant, but Standard Dutch still prevails in all provinces. This supports the idea that chat language does not necessarily diminish or violate the Standard Dutch language. Given that the interlingual elements are rather added to the generally used Standard Dutch language, the language is in fact enriched rather than impoverished by this chat language and should therefore be seen as change in progress.

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# LINGUISTICS AND PHYSICS: MUTUAL RELATIONS AND FASCINATION

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## Abstract:

The aim of the paper is to present diverse and multidirectional relationships between the two disciplines which are apparently only distantly related to each other - physics and linguistics. Mutual fascination results from the concern to describe the "physical world" the most adequately using the language in which it is sometimes difficult to express new cognitive ideas and inaccessible to the average language user reality that is based not on accepted rules of common sense thinking and speaking. Three moments that were breakthrough in the development of science, which show the connections between discoveries in physics and linguistic developments, will be analysed in the main part. In the conclusion the attempts to get closer the worldview contained in the (SAE) language and the image emerging from contemporary physical experiments will be briefly evaluated.

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**Key Words:** Linguistic, physics, relations

## Linguistics and physics: mutual relations and fascination

In its long history linguistics as an academic discipline has been classified as humanistic, natural or science studies. The most general reason for this is, of course, that the language (understood in various ways) is of interest to many fields of science, just because they are expressed in it. On the other hand, linguistics takes from other fields, while remaining in compliance with the "spirit of the times", defining and interpreting the language for the use of a specific "present day". A mutual interest of physicists in the language and linguists in physics, which will be discussed in this paper, results from the concern to describe the "physical world" the most adequately using the language in which it is sometimes difficult to express new cognitive ideas and inaccessible to the average language user reality that is based not on accepted rules of common sense thinking (and speaking), but on the scientific experiment the results of which are often surprising.

Of course, the relationship of linguistics to physics have a long history - its origins can be traced to ancient times, when the observation of the "physical world" became a touchstone of discussion on the nature of the language. Heraclitus of Ephesus, the creator of the theory of eternal changeability (*panta rhei*), subordinate to the constant factor of the change order, called the world reason (*logos*), found the antinomy of external changeability and internal unchanging principles also in the language, pointing to its natural (*physei*) and not conventional (*thesei*) relationship to reality [Heinz, 1979: 7]. The dispute about the nature of motivation between the language and the outer world, perceived with senses, was reported by Plato in the *Cratylus*, considered the first linguistic treatise in European linguistics, which can indirectly testify to the fundamental importance of physical issues for linguists and language issues for physicists. However, this paper will not so much track these relationships in the course of history (due to lack of space and competence), but it will present ground-breaking moments in which - at the time which generally can be described as modern time - they were raised with particular intensity. These moments are of course related to epochal discoveries and the most famous names in the world of science: Newton and Leibniz, Einstein and Jakobson, and contemporary Bohm and Halliday - I suggest presenting these great names as pairs of opponents in the discussion on the indissolubility of the two, apparently only distantly related to each other disciplines - physics and linguistics.

### – Isaac Newton and the "mechanistic way of speaking"?

The first of the milestones is from the days when it still seemed possible to achieve the ideal of the "clear language" in scientific descriptions and classical western cosmology was formed - as Benjamin Lee Whorf said - with *prominent participation of Indo-European languages* [Whorf, 2002: 317]. It is, of course, the discovery of the law of universal gravity, published by Isaac Newton in *The Principia* in 1687. This work was widely discussed, and the intellectuals of that time also referred to several linguistic issues which they believed contributed to the obfuscation of physical laws. The concept of gravity, which Newton described as the "force of attraction", was found particularly flagrant. Today its metaphorical character is little tangible, and it is treated as a "literal" description of the behaviour of particles / objects in the universe, which can perhaps be seen as an indirect proof of the approval of the theory of gravitation in the common worldview. But then describing gravity as the "force of attraction" was seen as a return to medieval physics of quality and power with its animistic standards of explanation. One of the great opponents of this description was Gottfried Leibniz, who strongly supported the idea of expressing reality in a logical and accurate way. The idea crystallized in the form of designing a universal language, which he called *characteristica universalis*. It was supposed to enable "proper" communication beyond all divisions of science. He claimed that the wording of the law of gravitation was obscuring and illogical. In a letter of 1711 he described the "force of gravity" as "nothing but a certain inexplicable, incorporeal virtue", as an "occult quality" producing effects without measures that could be understood. Thus, the scientific value of the theory of gravity was criticized, as the theory said that the two bodies separated by a large space can interact, but it did not explain what "real" forces are the reason of it, assigning the bodies some "inherent powers"<sup>270</sup>.

This criticism, however, did not convince Newton. Although in his correspondence he admits that figurative presentations that are appropriate for the language "artificially adapted to the sense of the vulgar" do not have the precision of mathematical concepts, but on the other hand he does not reject the metaphor of attraction, noting that it allows unsophisticated readers to understand the idea of gravity by referring it to their everyday experience (for example a well-known story of the apple falling from a tree that was to make Newton realize the law of universal gravity). The source of the dispute and incorrectness in the interpretation of the law of gravity is, in his opinion, that the words about the attraction and repulsion of bodies have added meaning – they attribute efficacy and even will to bodies. At the level of language expression the problem lies not so much in the use of metaphors as in syntax.

The fact that Newton saw obstacles deeply rooted in the structure of English and Latin, and was not always effective overcoming them, is presented by J.M. Coetzee in his essay *Newton and the Ideal of a Transparent Scientific Language*. He gives examples of how Newton in *the Principia*, *De mundi systemate* and *Optics* struggles with "natural" in Standard Average European (SAE) languages order of subject - predicate - object, which imposes semantic properties of the agent on the subject, i.e. efficacy (and often will), the semantic properties of the patient on the object, transitivity on prediction, and the word order itself stands as an iconic symbol of cause-effect relations. Examples show that the brilliant physicist was aware of these structural and semantic interconnections and tried to avoid them by using passivation and nominalisation - and not just as rhetorical devices, to avoid pointing to gravity as the driving force behind the movement of bodies, but also as a way to describe it more adequately as an indirect cause of this movement.

A list of language structures that were to meet the description or construction of a new reality is broadened by Michael Halliday, who points to: the use of abstract nouns as technical terms, the use of metaphoric verbs as verbalization of logical relations, the expansiveness of nominal groups and complex syntax (especially in the description of experiments) etc. [Halliday, 1990: 153-157]. Newton (or Galileo in Italian) did not invent new grammar forms, but reconstructed the capabilities of the system, providing the foundation of a new scientific language that enabled the codification, survival and development of new scientific knowledge – says Halliday, denying the relativist thesis that Newton's cosmology reflects mechanistic structures of thinking and speaking in the language rather than culturally and linguistically indeterminate projection of the order of the universe. It seems that

<sup>270</sup> The citations come from [Coetzee 1992: 181-194].

physicists tend to argue with the linguistic worldview rather than obeying it, and attacks on the language as a "serious source of errors and illusions" or attempts to reform the language in the spirit of the corresponding achievements of physics are clear evidence of sensitivity to linguistic issues. The next turning point, which made the classic principles of Newtonian mechanics verified, and which made the ideal of the "transparent language" a one-dimensional fantasy, shows how this bond tightens.

#### – **Albert Einstein and structuralism?**

This moment is connected with the discoveries of Albert Einstein, and in particular the theory of relativity, which revolutionized views on the nature of time and space. It is the moment when an eternal dilemma in the relationships between linguistics and physics occurs: which came first - the chicken or the egg, i.e. is Einstein's theory of relativity the result of encountering linguistic relativism, or vice versa? Undoubtedly, the theory had a great influence on the twentieth-century linguistic thought, but there are facts showing that the Humboldtian trend in the science of language could have inspired Einstein's way of thinking. Roman Jakobson writes about it in the article *Einstein and the science of language*, referring to the Swiss linguist - "the precursor of modern linguistics" - Jost Winteler, the author of "Relativität der Verhältnisse" of 1876, who was friends with young Einstein. It turns out that the physicist knew the problem of the inseparable relationship between the concepts of "relativity" and "invariance", which formed the basis of Winteler's linguistic theory, as well as the term "situational relativity", which appears in his theory as the basic principle of language functioning. Moreover, terms used in the work of Winteler originally competed as working names of the theory of relativity [Jakobson, 1989: 67]. Einstein's words in his speech in 1941 sound like a relativist-linguist *creed*: "The intellectual development of the human and their method of forming concepts depend largely on the language". These cross-references are so obvious that they do not require a comment.

The influence of the theory of relativity on structuralism, which dominated in linguistic science for most of the twentieth century, seems to be more interesting (because less obvious). As one of the most outstanding representatives of structuralism R. Jakobson confesses: "our generation of linguists aspired to grasp language mass as "discontinuous" matter which is composed of elementary quanta and thus reveals the "discrete" structure" [Jakobson, 1989: 73]. In this light the basic principles of structural linguistics can be interpreted as essentially "physical" in the sense that they correspond to the laws of quantum mechanics. Under its influence, a new, fundamental to structuralism cognitive perspective developed. The perspective is based on the awareness that despite appearances to the contrary, the world does not consist of objects existing independently the specific features of which can be seen as distinct and individual, and the nature of which can be similarly classified. The difference between mechanistic thinking, characteristic of Newtonian physics, and this new image comes from the very nature of quantum, which is nothing like the earlier ideas of elementary particles, because it is like a whole of higher level that cannot be assembled from parts as a machine: "It is as if the properties of parts affect the properties of the whole, but also vice versa, as if the properties of the whole affect the properties of parts. The whole is like an objective to which the parts adapt. Thus, when explaining phenomena the whole of them must be taken into consideration, they should be recognized "as a whole" (...), or in other words "organically" and not "mechanically" [Tatarkiewicz, 2001: 278]. The revolutionary contribution of Ferdinand de Saussure, who before taking language studies in Leipzig had studied physics and chemistry in Geneva for a year, to the development of linguistics would involve the recognition of the "overall" (systemic), "insubstantial" and "relational" nature of the language and the change of the perspective in its description. The basic statements of the *Course in General Linguistics*, which all students of linguistics know, seem to correspond well with the achievements of Einstein and particle physicists of his generation (Max Planck, Niels Bohr and others), for example:

2. language as a two-dimensional phenomenon, in the abstract dimension recognised as *langue* and in the material dimension as *parole*, is – similarly to "physical" matter – both "discontinuous" ("discrete") and "continuous" ("linear", "analogue");

3. it should be examined "synchronically", as a self-sufficient complete system in which basic units are linked to a regular network of relations (just like quanta) rather than diachronically, emphasising the evolutionary nature of its parts (words);
4. a linguistic sign consists of a signifier (acoustic image) and a signified content (concept), and the relationship between them is arbitrary, i.e. not determined by extralinguistic reality or any rational reasons, but it is embedded in the structure of *langue*, in which what distinguishes one sign from other signs also determines it; thus the linguistic system is of relational and formal nature (and this form is self-steering and self-regulating), and not substantial.

Further search for analogy at a general level, though possible, would be considered over-interpretation, therefore, the relationship of structuralism to quantum mechanics can be considered taking the theory of the phoneme of the Prague School as an example.

It is believed that prior to the publication of works by Nikolai Trubiecki and especially Jakobson in this area, phonemes were seen as a sort of sound "atoms", something that does not require opposites. Then, defining the phoneme as a bundle of distinctive features revolutionized phonology and had far-reaching implications for the diagnosis of the binary nature of the linguistic system, in which the "discreteness" or "quantaness" of the language are manifested. Jakobson himself admits that the distinctive features of speech sounds should be understood as "Einsteinian concepts expressing rigorously established relationships, intuitively recognizable as binary oppositions" [Jakobson, 1989: 73].

It is worth paying attention to another similarity related to the nature of these linguistic findings. Yuri Apresjan notes that linguists usually seek to ensure that their theoretic considerations on different linguistic phenomena do not deviate significantly from the intuitive concepts of the average language users; meanwhile: "In the experiments of Jakobson and others for the first time linguistics looked into the depth of the object the existence of which the average language user does not suspect, and gained experimental data that refuted the primitive intuition" [Apresjan, 1971: 96]. A similar revolution took place in modern physics: both the theory of relativity and quantum mechanics, although proven experimentally, are far from the common thinking and perception of the world and seem to be paradoxical from this point of view.

Polish philosopher Wladyslaw Tatarkiewicz, summarizing the philosophical consequences of the development of physics at the beginning the twentieth century, notes that in the anthropological dimension its impact is negligible compared to the first revolution of the turn of the sixteenth and seventeenth centuries: "After Copernicus's discovery man lost his central position in the universe. And he seemed to himself smaller, when the universe expanded indefinitely (...). Modern man knows infinitely more about the universe than man in the past, but – an interesting thing – he seems not to connect his view of himself with the knowledge of the universe. He lives in a different than the physical scale (...). This scale is psychological, social, religious, but not physical. Man tends to decide about his insignificance or greatness on the basis of the social and historical sciences, but not natural ones" [Tatarkiewicz, 2001: 280]. It seems that post-structuralist ideas seek to link these scale mutually.

### **3. Bohm and the grammar of human experience?**

When structuralism flourished in linguistics, inspired (to some extent) by the discoveries of physics, at the same time linguistic frustration among physicists grew. The inability to express the principles of quantum mechanics in the "natural language" (as opposed to "artificial" language of mathematics) was discussed by Niels Bohr, the Nobel Prize winner for developing the study of the structure of the atom, and his co-worker Werner Heisenberg, who was awarded the Nobel Prize for his discovery of the uncertainty principle in the motion of the atom. The description of their struggle with the new reality of micro scale and the language that could be used for its interpretation, is an exciting yet sad reading for linguists. Heisenberg writes that the language fails, it is a blunt instrument, that the interpretation of quantum mechanics in the language is like "waving hands", that you have to "arrange" how to speak [Heisenberg, 1979: 142-166]. The reason for frustration is the awareness of "being convicted to the language", without which it is difficult to understand experiments.

The problem and its complexity is presented convincingly by Willard van Orman Quine, a mathematician and analytical philosopher: in the physics of light, with its notoriously mixed metaphors of the wave and particle, the physicist's understanding of his own words must depend almost entirely on the context: on the knowledge of when to use a variety of sentences, at the same time talking about photons and observed light phenomena. Such sentences resemble levers, the proximal end of which is anchored in what they say about known objects, and the other end supports mysterious objects. Explanations become strangely bilateral: photons are postulated to help explain phenomena; on the other hand, these phenomena together with their theory explain what the physicist mean when talking about photons [Quinn, 1999: 28-29]. The interpretation of the "quantum world" becomes less and less precise, and more and more metaphorical, which obviously cannot satisfy particle physicists, who regard as perfect the language that strictly follows the structure expressed in mathematical patterns [Heller, 1999: 64].

David Bohm is one of those physicists who expressed their opinions on the language in the second half of the twentieth century [Bohm, 1988: 39-59]. He regarded inadequacy of the grammatical structure of the language (referring to SAE languages) to express the dynamic and fluid nature of reality that emerges from the observation of elementary particles and the laws of quantum mechanics, the basic problem of the interpretation. He stressed that the subject - verb - object language structure along with the worldview it implies is strongly reflected in our speech, even when giving little attention enables to see its obvious inadequacy. He saw inadequacy primarily in the fact that this structure reflects and preserves habitual and thoughtless perception of the world as a collection of separate static and fixed entities (of "permanent nature"), which actually prevents more relevant from the point of view of modern physics imaging of the world as a harmonious, non-fragmented whole.

David Bohm's great success is that he does not stop on the accurate diagnosis of the problems in understanding the "new" worldview, but he also tries to overcome the limitations of the language in its expression, realizing an "experiment" which he called *rheomode*. It is, in fact, a proposal to reform the language into its predicativisation, that is putting the verb in the first place in the syntactic (predicate-argument and thematic-rhematic) hierarchy and in the linear order of the sentence, loosening the relationship between the predicate and the subject, and the "independence" in meaning of the predicate from semantic-grammatical relations expressed in nouns. He performs this operation by giving verbs new, more general meaning and creating derivation series with preservation of clear graphic traces of verb formative operations (rejecting the "atomistic approach to words"), for example *ordinate* (meaning: spontaneous and unrestricted act of organizing) → *re-ordinate* → *re-ordinant* → *irre-ordinant* → *ordination* → *re-ordination* → *irre-ordination*. This would make it possible to gain awareness and express in the linguistic worldview the primordially of "movement" and its ubiquity - that some activities imply other activities, thus associative (paradigmatic) relationships between verbs in the horizontal section of the sentence should be emphasised.

This proposal could not be welcomed by linguists with enthusiasm. It is considered to be the "eccentric and impractical" [Goatly, 2000: 302], "simplifying and limited" [Halliday, 1987: 123]; not embedded in linguistics and not taking into account contemporary linguistic knowledge. Although it can be linked to Whorf's criticism of linguistic absolutism, it appears as an expression of postmodern "linguistic turn", which is known mainly in relation to philosophy and social sciences. In these sciences an essential role in understanding the world is assigned to the language, and "words" are not treated as mere vocal labels or communicative accessories applied to the previously existing order of things [Harris, 1988]. Michael Halliday considers the concept of *rheomode* an example of the "meta-language" of clear motivation: to decipher a new picture of reality we need a new language [Halliday, 1987: 123]. For Bohm it is a plane on which it is possible to approximate the two scales of human life mentioned by Wladyslaw Tatarkiewicz: physical and psychosocial scale. In this sense, Bohm's *rheomode* can be important also for linguistics.

The problem of adequacy in expressing "new physical knowledge" of grammatical structures existing in the language and reform attitudes in this area is not unknown to linguists. A broad discussion on this topic was begun by Halliday in his breakthrough paper *New Ways of Meaning: The Challenge to Applied Linguistics*. It drew attention to the fact that modern language policy and language planning includes grammar to a small extent. Institutions that deal with the regulation of

language processes in different countries focus mostly on its standardization and corrective codification, not paying attention to the creation of new grammar patterns. This raises the question - why?, or rather - why not? – says Halliday, emphasising that grammar as a centre of constructing human experience with the symbolic linguistic signs (and not just inner linguistic order) cannot be in contradiction with the material and physical conditions in which it operates. He points out that grammar categories (and relationships) of subject – object and agens – patiens types that fragmentarise the worldview were formed under the influence of modern science (especially physics of Galileo and Newton) and reflect the vision of reality then: the constant and precisely defined, but appear to be dysfunctional in representing its more relative and flowing image that emerges today. Therefore, he poses a problem similar to Bohm in his concept of language dynamisation noting, however, that everyday language is much more "dynamic", "complementary" and "sophisticated" in the imaging of the world order than physicists think.

The discussion initiated by Halliday led to the emergence of different attitudes to the mechanisms of the "grammar of human experience" in the context of the new interpretation of the world, brought by quantum mechanics. Andrew Goatly, for example, argues that Halliday's congruent grammar, that is a situation in which the semantic structure corresponds to the canonical structure of the event is not "natural" [Goatly, 2007: 302]. "Adequate speaking", where things are presented as nouns and secondary units and actions in the verbal group, is not - in his opinion - more natural and consistent with extralinguistic reality than presenting actions with nouns in nominalisations criticized by Halliday. The distinction between what is "literal" (standard conceptualizations) and "metaphorical" (nonstandard conceptualizations) is sanctioned by social conventions, and in the modern language (as a system in use) grammatical metaphors become increasingly present (for example, unusual collocations, unconventional syntactic roles of participants), expressing a new vision of the world. Goatly notes that this could be an argument against the reformist efforts of linguists: "Semiosis is embedded in our interactions with the real world. We can access it only through perception, cognition, and with the help of language, but we develop those models of cognition and thinking that best adapt in our environment" [Goatly, 2007: 332] – he says, pointing out that the contradiction between the grammar of human experience and contemporary image of reality (including the interpretation of the microcosm) will be overcome on condition that man - apart from the psychosocial scale of life - will see (and will "language") the larger, physical scale.

### Conclusion

The three moments presented in the paper that were breakthrough in the development of science, which show the connections between discoveries in physics and linguistic developments, seem to reveal the existence of mutual fascination between them resulting from the recognition of their importance in discovering the order of the physical world in the micro- and macro-scale as well as discovering the place of man as a cognitive entity in that order. These relationships are diverse and multidirectional: physicists, more or less consciously intervene in the language, in order to express new knowledge "adequately", which is widely commented by linguists. Linguists use the discoveries of physicists to analyse and interpret language phenomena in accordance with the laws of physics. Also physicists observe the trends in linguistics, and use them to reformulate the abstract language of calculations and experiments to the language that is closer to the average user of the "human experience" language. Attempts to get closer the worldview contained in the (SAE) language and the image emerging from contemporary physical experiments are rarely successful, this, however, should not discourage the two groups from further attempts.

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## SUSPENSE AND ITS CLASSIFICATION IN MODERN ENGLISH LINGUISTICS

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### **Abstract:**

Text analysis, especially linguo-stylistic analysis of a text is one of the most important issues in modern linguistics. It is a well-known fact that stylistic devices play the greatest role in text analysis. Among other figures of speech, suspense is one of the widely used syntactic stylistic devices. The given article discusses peculiarities of suspense and identifies the classes of this very interesting stylistic device in modern English linguistics.

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**Key Words:** Suspense, Modern English

### **Introduction**

Text analysis, especially linguo-stylistic analysis of a text is one of the most important issues in modern linguistics. It is a well-known fact that stylistic devices play the greatest role in text analysis. To be more precise without stylistic devices linguo – stylistic analysis of a text is not complete. Among other figures of speech, suspense is one of the widely used syntactic stylistic devices.

The aim of the given article is to investigate namely suspense, to give brief overview of this very interesting stylistic device, discuss its peculiarities and identify those classes which were revealed after processing the material under investigation. Namely these classes are the novelty that the given article discusses.

### **Types of Suspense**

According to the definitions found in different dictionaries, suspense is “A state or condition of uncertainty and excitement, with some anxiety, as the outcome of something is unknown”; “The state or quality of being undecided, uncertain, or doubtful”; “A feeling of tension, worry, etc. what may happen”. But in literature it can be considered as an element that is used to leave a reader or audience wait in excitement trying to figure out what is going to happen next, the quality of a literary work that makes the reader or audience uncertain or tense about the outcome of events. Suspense makes the reader ask “What will happen next?” Thus, suspense is a feeling of uncertainty and anxiety about the outcome of certain actions, an element of excitement producing a situation which breathes something untoward or ominous to happen.

Suspense comes from the ancient period. Even Aristotle referred to suspense as an element of drama. But suspense is not confined to drama; it can be found in a novel or a short story or a poem. Suspense inherent in a situation enhances the interest of the plot and contributes to the atmosphere. Suspense is a crucial plot element in literature. The plot is the arrangement of the ideas or events that make up a story and its elements determine the reader's experience. Its primary elements include not only plot but causality, foreshadowing, conflict, exposition, rising action, crisis and denouement as well. Suspense is the sense of anticipation or worry that the author instills in readers.

Thus, the aim of suspense is to keep a reader in constant interest, feelings of tension and anxiety, in the state of uncertainty and expectation and somehow prepare the reader for the logical conclusion of the utterance. It can also be said that this stylistic device causes psychological effect.

The classical example of suspense is Rudyard Kipling's poem "If":

If you can keep your head when all about you  
Are losing theirs and blaming it on you;  
If you can trust yourself when all men doubt you,  
But make allowance for their doubting too:  
If you can wait and not be tired by waiting,  
Or, being lied about, don't deal in lies,  
Or being hated don't give way to hating,  
And yet don't look too good, nor talk too wise;

If you can dream---and not make dreams your master;  
If you can think---and not make thoughts your aim,  
If you can meet with Triumph and Disaster  
And treat those two impostors just the same:  
If you can bear to hear the truth you've spoken  
Twisted by knaves to make a trap for fools,  
Or watch the things you gave your life to, broken,  
And stoop and build'em up with worn-out tools;

If you can make one heap of all your winnings  
And risk it on one turn of pitch-and-toss,  
And lose, and start again at your beginnings,  
And never breathe a word about your loss:  
If you can force your heart and nerve and sinew  
To serve your turn long after they are gone,  
And so hold on when there is nothing in you  
Except the Will which says to them: "Hold on!"

If you can talk with crowds and keep your virtue,  
Or walk with Kings---nor lose the common touch,  
If neither foes nor loving friends can hurt you,  
If all men count with you, but none too much:  
If you can fill the unforgiving minute  
With sixty seconds' worth of distance run,  
Yours is the Earth and everything that's in it,  
And---which is more---you'll be a Man, my son!

It is clear that the whole poem is built on the stylistic device – suspense, as only the last two lines, which are the principle clause of the poem, convey the main idea and all *if*-clauses keep the reader in constant interest. Namely this is the aim of suspense; the reader is eager to read the whole text, in this particular case the whole poem, in one breath in order to learn what the writer wants to say, what is his/her intention. Suspense is that element that keeps a reader turning and turning pages. It is a vital ingredient in almost any text - be it a story, a novel, a fairy-tale, or a poem. Some readers think that suspense belongs to mysteries and thrillers, but suspense is vital to all genres.

Suspense as a compositional device consists of arranging the matter of a communication in such a way that the less important, descriptive or subordinate parts are amassed at the beginning and the main idea is withheld till the end of the sentence/paragraph/chapter/the whole text. Thus the reader's attention is held and his/her interest is kept up.

"Mankind, says a Chinese manuscript, which my friend M. was obliging enough to read and explain to me, for the first seventy thousand ages ate their mean raw."

(Charles Lamb)

In the given sentence the main clause is "Mankind for the first seventy thousand ages ate their mean raw" and the phrase "says a Chinese manuscript, which my friend M. was obliging enough to

read and explain to me” is suspense which prolongs the sentence and causes a reader’s interest. This sentence can serve as a good example to show that suspense can be included even in one sentence.

As it has already been shown suspense can comprise the whole text and even one sentence. Besides the above mentioned examples, suspense can consist of one paragraph, one page, one chapter (in case a text consists of several chapters). The longer the suspense is the more interest is caused.

Suspense can start at any place of the text:

- From the very title
- At the beginning of the text
- In the middle of the text
- At the end of the text

Suspense can end:

- In the middle of the text
- At the end of the text
- And generally anywhere throughout the text

As all other stylistic devices, suspense can also be classified according to its strength. It is obvious that the strongest will be suspense which starts from the title, grows throughout the text and ends at the end of the text. We believe that the weakest will be that suspense which comprises one sentence or one paragraph.

The major point of this article is to show the classification of suspense into different types. Besides the type of suspense described above, the material under investigation enabled us to distinguish the following types of suspense:

- Hidden suspense
- Macro suspense
- Micro suspense

### **Hidden suspense**

Suspense can be considered as hidden if it is not perceived without aided eye. As an example we can bring Elizabeth Bowen’s story “Tears, Idle Tears”. If a reader is not extremely attentive and does not penetrate deeply into the story, he/she will never be able to notice suspense and consequently, will never understand the essence of the story (the reason why the main hero – a little boy- was systematically crying in the presence of his mother).

### **Macro and Micro Suspense**

These types of suspense are somehow interrelated with each other. They cannot exist without each other. James Salinger’s story “A Perfect Day for Bananafish” can serve as a good example of these two kinds of suspense. Suspense starts from the very title and ends in the last paragraph of the story. But besides, there is noticed another suspense in the text that starts from the second page and lasts for a while, i.e. comprises a couple of pages. Namely this story made us think about distinguishing macro and micro suspense. Thus, we call the first suspense macro suspense as it comprises the whole text and the second one – micro suspense which is included in the macro suspense.

### **Conclusion**

In conclusion it can be said that suspense is a stylistic device of delay of a direct plot narration in the literary work by using parenthetical sentences, inserting descriptions of the nature, past of the heroes, philosophical discourses, lyrical digressions, etc.

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## LEXICAL AND SEMANTIC PRODUCTIVITY OF BORROWINGS INTO THE RECIPIENT LANGUAGE

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### **Abstract:**

Borrowings often become the source for the creation of new lexical items in the languages they enter. In this article the borrowed terms in the field of law in Albanian constitute the factual material based on which we are to analyze the lexical and semantic productivity of this stratum of the vocabulary of a language.

At the beginning there will be presented the current state of borrowings of legal terminology in Albanian according to the languages they were borrowed (bearing in mind that until the 1990's borrowings from Italian and French prevail, and after 1990 there is an influx of English lexical borrowings) and according to the branches of law (selecting branches of law where borrowings abound).

First, it will be analyzed the lexical productivity based on that part of borrowings in the field of law that have become productive roots for producing new words in Albanian, pointing out the characteristics of this group of borrowings.

Second, it will be analyzed the semantic productivity through that part of borrowings in the field of law that have expanded the semantic structure with new terminological and non terminological meanings in Albanian, referring to their coverage in the dictionary of Albanian language and pointing out the characteristics of this group of borrowings.

Finally, based on the analysis of the aforementioned groups of borrowings in terms of lexical and semantic productivity we will present the conclusions about productivity and the role of borrowings in the enrichment of a language.

**Key Words:** Legal Terminology, Borrowings, Lexical Productivity, Semantic Productivity

**L.** Borrowing is an inevitable process, because peoples exchange continuously from each other – languages are no exception to this reciprocal influence. Foreign words are necessary to a language when its own lexical tools do not suffice to name new objects and notions that progress brings.

Foreign words name new notions or objects that pertain to different fields of human endeavour; one of which is law. The borrowings of the terminological vocabulary of law in the Albanian language, which are the focus of this study, will be analysed, according to the time in which they were borrowed, from two perspectives: a) the areas in which they have pervaded and their logical-objective affiliation b) the language from which they have been borrowed.

a) Borrowed words in the main areas of law name:

### **1. In the area of constitutional law.**

*Before the 1990s:* a) ways of power organisation and government: *anarki, autokraci, diktaturë e proletariatit, republikë socialiste* etc.; b) state institutions and organs and ways of organising their activity: *kolegjiun, komision* (of elections), *legjislaturë, ministri, parlament, plenum, presidium(i kuvendit), sesion* (extraordinary), etc.; c) persons according to their roles or activities and the way in which they are organised: *delegat, deputet, ministër, legjislator, president, parti politike* etc.; d) akte ligjore e nënligjore: *amendament, dekret, dispozitë, dispozitiv, legjislacion, statut* etc.; e) juridical actions: *abrogim, abstenim, kontestim* etc.; f) other legal concepts: *imunitet* (i deputetit), (judgement) *incidental, interpelancë, kolegjalitet, kuorum, mandat* (of a member of parliament), *plebishit, referendum* (plebiscitary), *votë* etc.

*After the 1990s:* a) ways of power organisation and government: *republikë presidenciale, republikë gjysmëpresidenciale, republikë parlamentare, republikë direktoriale* etc.; b) state institutions and organs and ways of organising their activity: (court) *e Apelit, kabinet* (governmental), (court) *e Kasacionit* etc.; c) persons according to their roles or activities and the way in which they are organised: *magjistrat, ombudsman, parlamentar, president* etc.; d) akte ligjore: *akt integrativ* etc.; e) juridical actions: *amendim, derogim* etc.; f) other legal concepts: *balotazh, bipartitizëm, draft i kushtetutës, elektorat, iniciativë* (legislative), *komision bipartizan, konstitucionalizëm, mazhorancë, mocion, monopartitizëm, obstruksionizëm, opozitë, parlamentarizëm, pluralizëm, sistem mazhoritar, sistem proporcional, subjekt elektorat* etc.

## **2. In the area of common law and contract law**

*Before the 1990s:* a) persons according to their roles or activities and the way in which they are organised: *agjent* (exchange, insurance), *debitor, depozitues, garant, komisioner, kontratues, kreditor, person fizik, person juridik* etc.; b) types of contracts and the obligations that derive from them: *depozitë, kontratë, kontratë aderimi, kontratë kolektive, kontratë komisioni, kontratë reale, kontratë - tip, projektkontratë*; (obligation) *alternativ*, (obligation) *civil, debi*, (obligation) *fakultativ, kredi*, (detyrim) *solidar* etc.; c) miscellaneous documents: *kambial, markë, patentë, policë* (insurance), *prokurë, testament, testament noterial, testament ollograf* etc.; d) actions in the area of civil relations: *adoptim, akaparim, rivendikim, simulim* etc.; e) other legal concepts: *ankand, bigami, borxh, divorc, garanci, hipotekë, kadastër, kamatë, kapar, kooperativë, levirat, monogami, poliandri, poligami, prim, pseudonim, rentë* (living), *rezervë* (legal) etc.

*After the 1990s:* a) persons according to their roles or activities and the way in which they are organised: *aksioner, beneficier, franshizor, posedues, sekser, spedicioner, testator, uzufruktar; fondacion* etc.; b) types of contracts: *factoring, franchising, leasing*, (of a contract) *skontos* (bank), *spedicion* etc.; c) actions in the area of civil relations: *falimentim, likuidim* etc.; d) other legal concepts: *dekadencë* (of rights), *enfiteozë, klauzolë leoniane, klauzolë standarte, kontribut, kredi fraksionale, kredi e sindikuar, kredi totale, morë e debitorit*, (lawsuit) *posedimore*, (lawsuit) *e regresit, prekluzivitet, servitud, uzufrukt* etc.

## **3. In the area of criminal law:**

*Before the 1990s:* a) persons according to their roles or activities and the way in which they are organised: *autor* (of a crime), *ekzekutues* (of a crime), *organizator* (for the execution of a crime), *recidiv; bandë* (armed) etc.; b) actions in the area of criminal law: *ekzekutim, internim* etc.; c) crime and its constituents: *atentat, dezertim, diversion, falsifikim, incest, kontrabandë, krim, krim permanent, lezion* (against a spouse), *pederasti, provokim* (of war against the People's Socialist Republic of Albania), *sabotim, spekullim, spiunazh; tentativë* etc.; d) other legal concepts: *amnisti, precedent, sanksion* etc.

*After the 1990s:* a) persons according to their roles or activities and the way in which they are organised: *korruptues, i korruptuar, trafikant, organizatë mafioze, organizatë terroriste* etc.; b) crime and its constituents: *akt terrorist, dezinformim* (of emergency services), *eutanazi, fabrikim* (of narcotics), *falimentim, falimentim i provokuar, komplot*, (organisation) *i lotarive* (forbidden), *ometim* (of the culprit), *pedofili, trafikim klandestinësh*, (intervention) *në transmetimet kompjuterike; neglizhencë* etc.

## **4. In the area of procedural law**

*Before the 1990s:* a) institutions and organisation of the judicial system: (Court) *e Apelit, Kolegj penal, Kolegj Civil* etc.; b) parties and other persons involved in a process: *akuzues, avokat, ekspert, prokuror* etc.; c) types of documents: *aktakuzë, dublikatë, dokument autentik, kopje* (of a document), *kontrapadi, procesverbal* etc.; d) actions in the area of procedural law: *ekspertim, ekzekutim* (of a decision), *konfiskim, sequestrim, prezumim fakti, revokim* (of a decision) etc.; e) other legal concepts: *alibi, eksperiment* (investigative), *fakt juridik, litispencë, pretencë e prokurorit, proces civil, proces penal, procedurë* (in court), *protestë e prokurorit, seancë* (in court) etc.

*After the 1990s:* a) institutions and forms of organisation of the judicial system: (Gjykatë) e *Kasacionit* etc.; b) types of documents: *fashikull i prokurorit*, (letter) *rogatore* etc.; c) actions in the area of procedural law: *deklarim i falsitetit të dokumentit*, *ekstradim*, *rekuizim*, (placing) e *sekuestros eventuale*, (placing) e *sekuestros konservative*, (placing) e *sekuestros preventive*, (withdrawal) e *pretendimeve* etc.; d) other legal concepts: *falsitet i dokumentit*, *legjitimitet aktiv* (of a person), *legjitimitet pasiv* (of a person), *rekurs* etc.

## 5. In the area of administrative law

*Before the 1990s:* a) state organs: *komitet ekzekutiv*, *organe lokale* etc; b) administrative acts: *anulim*, *delegim i kompetencave*, *revokim i aktit administrativ* etc.; b) administrative organisations: *lokalitet*, *prefekturë*, *rajon* etc.; c) other concepts: *administratë*, (legal relations) *administrative procedurale*, *juridiksion administrativ*, *kontroll administrativ*, *legjislacion administrativ*, (ordinance with) *penalitet*, *seksion administrativ* etc.

*After the 1990s:* a) state organs: *Departamenti i Administratës Publike*; b) administrative acts: *akt deklarativ*, *akt konstitutiv*, *akt negativ*, *akt pozitiv*, *akt real*, *akt strukturor*, *akt verbal*, *kontratë administrative kompromisi*, *kontratë administrative reciproke*, *substitucion i kompetencës*, (surpassing) *substancial i juridiksionit administrativ* etc.; c) other concepts: *ezaurim* (of an administrative complaint), *imprevisjon*, *karakter unilateral i aktit administrativ*, *karakter konsensual i aktit administrativ*, *nulitet i aktit administrativ*, *prokurime publike* etc.

## 6. In the area of labour law

*Before the 1990s:* a) persons according to their role or the category to which they belong as provided for by law: *inspektor* (occupational), *invalid* (occupational) etc.; b) other concepts: *inspektorat* (occupational), *invaliditet*, *pension*, *pension invaliditeti*, *kuotizacion* etc.

*After the 1990s:* a) ways of collective organisation: *Konfederatë e Sindikatave të Bashkuara*, *organizatë sindikale*, *sindikatë* etc.; b) types of work contracts: (work contract) *part - time horizontal*, (work contract) *part - time vertikal*, (work contract) *part - time mikst*, (contract of) *job - sharing* etc.; c) other concepts: *grevë solidariteti*, *labour pool*, *minimum* (living), (insurance) *suplementar*, *transferim* (of a company) etc.

## 7. In international law:

*Before the 1990s:* a) persons according to their role or the category to which they belong as provided for by international law: *agjent diplomatik*, *agjent konsullor*, *ambasador*, *arbitër*, *atashe*, *internunc*, *kancelar*, *konsull*, *legat(i) nunc*; *emigrant*, *refugjat* etc.; b) types of documents: *akt final*, *deklaratë*, *notë verbale petition*, *protokoll*, (letter) *reversale*, *rezolutë*, *memorandum*, *konkordat*, *ultimatum* etc.; c) ways of state organisation: *dominion*, *federatë*, *komonuelth*, *konfederatë*, *principatë*, *protektorat* etc.; d) types of international agreements: *konkordat*, *konventë*, *pakt*, *traktat* etc.; e) diplomatic institutions: *ambasadë*, *konsullatë*, *legatë*, *misione diplomatike* etc.; f) actions in international law: *akreditim*, *aksedim*, *aneksim*, *bojkotim*, *denoncim* (of an agreement), *kapitullim*, *provokim* etc.; g) other concepts: *agrement*, *aparteid*, *arkiv diplomatik*, *autonomi*, *bllokadë*, *dominion*, *duplikë*, *ekstraterritorialitet*, *ekzekuturë*, *embargo*, *genocid*, *hinterland*, *imunitet diplomatik*, *indult*, *inkorporim* (of a state), *integritet territorial*, *invadim*, (regime) *i kapitulacioneve*, *klauzolë protokollare/aderimi*, *koloni*, *kolonializëm*, *koncert european*, *kondominium*, (law) *konvencionale*, *korrespondencë diplomatike*, *privilegje*, *procedurë konsultative*, (agreement) *regionale*, *rekomandim*, *sovrانيتet*, *suzerenitet*, *uzurpim*, *vasalitet* etc.

*After the 1990s:* a) persons according to their actions: *mediator*, *negociator*, *observer* (international) etc; b) institutions: *Department of Peacekeeping operations* (DPKO), *International Commission on Intervention and State Sovereignty* (KISS) etc.

Foreign words can also be found in the terminology of those areas of law that have been developed in Albania after the 1990s.

## 8. EU law

a) EU institutions: *Komision European*, *Parlament European* etc. b) persons according to their role: *Avokat european*, *Mediator european*, *president i Komisionit European*, *president i*

*Parlamentit Europian* etc. c) juridical acts of EU institutions and documents: *direktivë negociimi, opinion konsultativ* (of the European Court of Justice) etc.; d) agreements that regulate the organisation and functioning of the EU: *Akt Unik Europian, Kompromis* (i Luksemburgut), (agreement) *asocimi*, (marrëveshje) *stabilizim asocimi, traktat - kuadër* etc.; e) other concepts: *Acquis Communautaire, investiturë* (of EU commissioners) *invokabilitet maksimal direktivash, invokabilitet minimal direktivash, komitologji, komunitarizëm, mocion censure* etc.

## 9. Commercial law

a) persons according to their role or activity in commerce: *administrator, aksionar, likuidues, ortak administrator, ortak kolektiv, ortak mazhoritar, ortak në minorancë, sekser, sekser – komisioner* etc.; b) forms of organisation of persons in the area of commercial relations: *filial, firmë* (trading), (company) *aksionare*, (company) *anonime*, (company) *kapitali*, (company) *kolektive*, (company) *komandite*, (company) *piramidale* etc.; c) other legal concepts: *korupsion aktiv në sektorin privat, korupsion pasiv në sektorin privat* etc.

**II.** The languages from which words have been borrowed vary depending on the time or particular area of law. Before the 1990s, the majority of borrowings are from:

Romance languages, such as French and Italian. This has been due to the historical connections with these two countries; but also because of the influence of the educational systems of these two countries in the training of the experts in the area. Many of the terms, borrowed before the 1990s, gradually became obsolete; some of them, however, mainly terms that are international by nature and those for which no Albanian equivalents have been found, continue to be a vital part of legal terminology. E.g. *amnisti, aneksim, arbitrazh, autonomi, ekstraterritorialitet, ekzekuturë, konkordat, konsull, memorandum, ratifikim, republikë, rezolutë, sekuestrim, sovranitet, suzeren, traktat, vasalitet, ultimatum* etc.

Legal terms have also been introduced from the English language. Initially few, such as *komonuelth, kongresmen* or some others, they increased considerably after the 1990s with the changes that the country underwent, which allowed the establishment of relations with the Anglo-Saxon world. This increase is also due to the powerful influence of the English language, which, as part of the globalisation process, has become the language of international communication. In legal terminology many terms can be found that have entered different areas of law.

— in public law: *act of settlement, case – law, common law, civil law, convention, draft, impeachment, joint resolution, kongresmen, lob, lobim, overruling, practice statement, rules of contract, rules of property, rules of procedure distinguishing, samit, (normë) self executing, system self contained, writ of certiorari, writ of mandamus* etc.

— in comparative criminal law: *barrister, fornication, guilty plea, indictable offence, jury trial, justices of peace, lapidation, offence, petty offences - nonindictable, solicitor* etc.

— in common law and contract law: *copyright, faktoring, franchising, leasing* etc.

— in commercial law: *joint venture* etc.; in labour law - (*kontratë e punës*) *part-time, kontratë e job-sharing, labour pool, team leader* etc; in international law: *Department of Peacekeeping operations (DPKO), International Commission on Intervention and State Sovereignty (KISS)* .

The increasing interest to widen the knowledge of different systems of law, as well as the expansion into new areas of legal studies, have increased the circle of the languages from which foreign terms are borrowed. In particular areas, such as comparative law, there have been borrowings of different origins. In legal literature there are, for instance, Arabic terms, such as: *dhimma, fiqh, fuqaha, hadif, idima, qiyas, summa, shariat, etc*; from Hebrew: *torah, talmud* etc; from German: *kancelar, land, rajshtag, rajshrat* etc; from Spanish: *amparo*; from Swedish: *ombudsman*; including Chinese and Japanese: *sho, ritsu ryo, kim* etc.

A separate group consists of those terms from Turkish, which have come down to our day. These are historical terms, the usage of which is limited to the study of issues that concern the development of the history of law and the state in Albanian, such as: *angari, çiftlig, ferman, haraç, kanunname, nigjah, spahi, sulltan, tapi, tesarufin, timar, vali, vezir, vilajet* etc.

**III.** The majority of borrowings in law have been represented in the non-specialist dictionaries of language, as evidenced by the survey for this purpose in the Albanian language dictionaries of 1980 and 1984, according to the principle that one must represent extensively the widely-used international words and foreign non-international words. It is noticeable that the predominantly specialist terms have been excluded. In the 1980 dictionary the following international terms have been represented: *akreditoj, aleancë, aleat, alibi, amnisti, arbitrazh, asamble, autonomi, denoncim, diplomaci, embargo, ekstraterritorialitet, garanci, imunitet, juridiksion, konventë, konsull, ministër, notë (note verbale), protokoll, sanksion, sovranitet* etc. Additionally, foreign terms have been included, such as: *abstenim, aderim, adoptim, akuzë, amendament, ambasadë, ambasador, apel, deputet* etc.

**1.** The borrowed terms have become a source of new words in the language.

**a)** Many of the borrowed terms have become generative root words for the formation of new terms. a) some of the borrowed terms that have been represented in dictionaries appear as separate terms, and have been represented with their respective word families. Some examples of note include the terms as nouns, followed by the terms as verbs and as adjective, e.g. *akuzë — akuzoj — akuzues — i akuzuar; dekret — dekretoj — dekretim — dekretues — i dekretuar — dekretligj; kontratë — kontratoj — kontratim — kontratues; arrest — arrestoj — arrestim — i arrestuar; hipotekë — hipotekoj — hipotekim — hipotekor; apel — apeloj — apelim; sanksion — sanksionoj — sanksionim; garanci — garantoj — garantim — i garantuar — garant; ministër — ministri — ministror; amnisti — amnistoj — i amnistuar; abstenoj — abstenim — abstenues; denoncoj — denoncim — denoncues; akreditoj — akreditim; sekuestroj — sekuestrim — i sekuestruar; adoptoj — adoptim — adoptues — i adoptuar; ekzekutoj — ekzekutim — ekzekutues; juridik — juridiksion — juridikisht; recidiv — recidivist; penal — penalist* etc.

After the 1990s a noticeable trend is the complementation of the aforementioned word families with new formations. Alternatively, new word families have been created with the terms, for which space might be found in future dictionaries of legal terminology.

- word families complemented with new formations: *akreditoj — akreditim — i akredituar; apel — apeloj — apelim — i apeluar — i apeluëshëm — apeluëshmëri; denoncoj — denoncim — denoncues — i denoncuar; juridik — juridiksion — juridiksional — juridikisht — juridizim; penal — penalist — penalizoj — penalizim — i penalizuar; recidiv — recidivist — recidivizëm; sanksion — sanksionoj — sanksionim — i sanksionuar; sekuestroj — sekuestrim — i sekuestruar — i sekuestruëshëm — sekuestruëshmëri; trafik — trafikoj — trafikim — trafikues — i trafikuar* etc.

- new word families, formed with terms that had not been previously productive terms e.g. *amendament — amendoj — amendim — i amenduar, civil — civilist, komunë — komunar* etc.

**b)** Some terms, represented in the dictionary as second or third or even more distant meanings in the definition structure of the borrowed word, have become after the 1990s generative root words for new words, such as: *institucion — institucionor / institucional — institucionalizoj — institucionalizim — i institucionalizuar; replikë — replikoj — replikim.*

**c)** After the 1990s, other terms have also been productive for new word-families, including: *korrupsion — korruptoj — korrupim — korrupues — i korrupuar; prokuroj — prokurim — prokurues — i prokuruar; rekurs — rekursoj — rekursim* etc.

The new lexical units that are the outcome of the productivity of borrowed terms have been formed mainly through the use of affixes; there are, however, cases when a lexical unit has been formed from the compounding of two motifs.

The new lexical units are legal terms, just as the generative root words from which they originate.

## 2. Borrowed terms have also become a source of new meanings in language.

**a)** some of the borrowed terms have expanded with non-terminological meanings the structure of the word-term, e.g. the word *akuzë*, which is a legal term in its original meanings. 1) activity of organs or legally appointed persons that conduct legal proceedings against someone in respect of a criminal charge. 2) The party instituting or conducting legal proceedings against someone in a lawsuit; appears with a more general meaning: 3) a charge that someone has done something wrong.

The word *diplomat*, with its original meaning 1) a high official, appointed by the government to represent a country abroad; has gained an additional figurative meaning in everyday language: 2) a person who can use ingenuity, refined strategies and tact to resolve problems or achieve a goal.

The word *testament*, which in its original meaning (a document in which a person specifies the method to be applied in the management and distribution of his estate after his death), is preceded by the abbreviation *leg.* (Alb. *drejt.*), indicating that this legal term has developed additional non-terminological meanings: 2) a

important written work of a writer, scientist etc., often in the last years of their life, which represents their main views on the respective field. In addition, non-specialist dictionaries have included the semantic structure of an array of other borrowed terms, such as: *sanksion*, *diktaturë*, *garanci*, *konsull*, *protokoll*, *avokat*, *proces*, *procedurë* etc.

**b)** another group of borrowings, words of terms of other fields, have widened the definition structure with new meanings, which have been included in the dictionary as legal terms, e.g. *imunitet*, *institucion*, *subjekt*, *replikë*, *denoncim*, *notë* etc.

The new meanings that have enriched the definition structure of borrowed legal terms, are not terms of that field. The opposite is observed: the new meanings that have enriched the definition structure of words from other fields, are now legal terms.

This representation and analysis of the borrowed terminological vocabulary in law and of the productivity of borrowings in the Albanian language from the lexical and semantic perspective, leads to the following conclusions:

**1)** Borrowings make up a special part of the legal terminological vocabulary. Over time, they have increased in number to make possible the naming of new concepts and realities that reflect the progression this area. In addition, they have become an integral part of the Albanian language.

**2)** Albanian has borrowed from different languages. In different periods of history, borrowings from certain languages have been predominant. Before the 1990s, most terms have been borrowed from Italian and French, whereas after the 1990s there is a noticeable increase of borrowings from English. Moreover, there has been a widening of the geography of languages from which terms have been borrowed to name specific legal institutions and concepts to reflect the particular needs of this field.

**3)** Most borrowings name phenomena, persons according to their role or function, and various documents.

**4)** Necessary borrowings are a direct source of the complementation and enrichment of the terminology of an area; they are also an indirect source, because they serve as generative root words for new formations.

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## MUSLIM COMMUNAL POLITICS AND PARTITION OF INDIA: IMPERIALIST AND CAMBRIDGE HISTORIOGRAPHY

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### **Abstract:**

The Imperialist and Cambridge historiography on the Muslim Communal politics and partition of India and on the political changes among the Muslims of colonial India tend to fall into five separate categories. The historians of the first category are of the opinion that the omissions, tactical errors and diplomatic blunders on the part of the Indian National Congress changed the Muslim politics and led to the growth of the Muslim Communal politics subsequently resulting in the form of the partition of India. The second category of these historians are of the opinion that the forces of the colonial policy and the constitutional measures adopted by the colonial state helped to the emergence and growth of the Muslim communal politics and led to the partition of India. It has been suggested by the third category of these scholars that the growth of the Muslim separatism in India was manipulated and determined by the Muslim elites at the national and provincial level whose propaganda based on communal identification was responded to the Muslims of colonial India. The historians of the fourth category have argued that although the colonial policy and its evolution of the representative from of the government led to the emergence and consolidation of the Muslim communal politics but the demand of a separate Muslim state was not the design of Muslims of India. It has been viewed by the scholars of the fifth category that the Muslim separatism in colonial India and the partition of India was the result of the interplay between the three major political players i.e., the British, the Indian National Congress and the All India Muslim League and that the partition of India was a first major act of decolonization.

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**Key Words:** Muslims, Politics, India

### **Main Text**

The partition of India and the foundation of Pakistan on August 15, 1947 was an event of significant historical importance with far reaching consequences for India and Pakistan. It has thus attracted the attention of historical writings. However, to begin with, the political and social climate of India and Pakistan was not conducive enough to undertake an analytical and scholarly work on the subject. Lack of access to primary sources and cross-references and loss of several important sources in the wake of partition also contributed to it. It was much later that the works of scholarly value and historical importance began appearing. With the passage of time, new sources, new facts and new view-points came along and spurred the historians to ask new questions and look back with a fresh perspective on the history of the partition of India. The historical research on partition of India, as a result, emerges richer out of this ongoing process.

The Imperialist and Cambridge historiography on Muslim communal politics and partition of India constitutes a significant and voluminous part of the study of the history of partition of India. To begin with the Imperialist historiography on the partition of India was represented by H.V. Hodson, Penderel Moon, Nicholas Mansergh, Hector Bolitho and C.H. Philips.<sup>1</sup> It is generally believed that the writings of the early Imperialist historians on the partition of India were by the large a reflection of their purely colonial interests and colonial attitude. Later on the professional historians of the Cambridge school took over the mantle from the Imperialist scholars and they have further enriched the historiography on the Muslim communal politics and the partition of India during the last six decades. Among the Cambridge historians the writings of David Page, Peter Hardy, R.J. Moore, Farzana Shaikh, Paul Brass, Stanley Wolpert, Ian Talbot, David Gilmartin, Ayesha Jalal, Asim Roy, Ian B. Wells, Anita Inder Singh, Yashmin Khan and Narender Singh Serila may be termed as

significant perspectives on the study of the partition of India with the help of new found sources and fresh view points.<sup>2</sup>

The Imperialist and Cambridge historiography on the Muslim communal politics and partition of India unlikely to the popular historiography of India and Pakistan have not studied the partition of India on the bases of the two nation theory. These historians have not studied the Indian Muslims as a separate religious community who were maintaining their separate homogeneous identity as distinct from the Hindus since the medieval times rather they have studied the Muslims of colonial India simply as more Indians than Muslims.<sup>3</sup> Although the Imperialist and Cambridge historians have studied the emergence and growth of the Muslim separatism during the colonial India only in terms of the political developments that was taking shape during the colonial India its, however, the author of the present paper is of the opinion that even than the above said historiography may not be placed in one compartment and it may not be treated on one platform. The author of this paper is of the opinion that the Imperialist and Cambridge historiography on the Muslim communal politics and partition of India and on the political changes among the Muslims of colonial India tend to fall into live separate categories.

The writings of Hector Bolitho, Penderel Moon, C.H. Philips and Nicholas Mansergh fall into the first category. These historians are of the opinion that the omissions, tactical errors and diplomatic blunders on the part of the Indian National Congress changed the Muslim politics and led to the growth of the Muslim communal politics which subsequently resulted in the partition of India.<sup>4</sup> Hector Bolitho has focused on the events of 1928 and in his study he has asserted that M.A. Jinnah did his best to maintain Hindu-Muslim unity at the All-Parties Conference of Calcutta in December, 1928 but it was the Indian National Congress which made a tactical error at this Conference and the Congress had to suffer the loss of Jinnah's support who was a great man of the Muslims of India. Hector Bolitho has described this event as a parting of the ways between the Congress and the League which subsequently led to the partition of India.<sup>5</sup>

Penderel Moon in his interpretation has dwelt upon the issue of the Congress-League coalition ministry formation in the United Provinces after the Provincial Legislative Elections of 1937. It has been suggested by this scholar that the Congress refusal to share power with the Muslim League in 1937 deeply offended the Muslims and Jinnah and widened the breach between the Congress and the Muslim League. Penderel Moon is of the opinion that the events of 1937 were fatal error on the part of the Congress which became the prime cause of the creation of Pakistan.<sup>6</sup> Henceforth, the Muslims began to rally behind the Muslim League and the League gained strength to strength. This historian has further recorded that a general lack of wisdom and statesmanship on the part of the Congress during the years 1937-1992, made Pakistan unavoidable. Thereafter, the British efforts to preserve the unity of India were sincere and well conceived – it is difficult to see what more they could have done – but passions had been so deeply aroused for human reason to control the course of events.<sup>7</sup>

C.H. Philips in his study has focused on the issue of the Second World War and the Congress and he is of the view that the Congress showed a fundamental lack of appreciation of the realistic of power by the withdrawal of all Congress ministries from office in reaction to the decision of the British Viceroy in 1939. According to C.H. Philips this was the tactical blunder on the part of the Indian National Congress and it was this breakdown of Congress which opened the way for the Muslim League and Pakistan.<sup>8</sup> Nicholas Mansergh has primarily traced the events leading to the partition of India from 1942 and has said that the half - hearted attempt of the Indian National Congress in 1942 to try by rebellion to force the embattled British to quit India was a blunder of magnitude. This blunder, it has been suggested by this historian, had further communalized the relationship between the Hindus and the Muslims. Once domestic politics had become communal, Gandhi's bewildering fertility of ideas and arguments had disrupting effects on the Congressmen, confusing their sense of strategy and seemingly paralyzing their will to reach decision. Such a political crisis helped the Muslim League to reach upto its goal of the Pakistan.<sup>9</sup>

No doubt the above said Imperialist historians have very vividly examined the history of the Muslim communal politics and partition of India on the bases of the available primary sources at that particular period. These scholars have in fact laid the foundation of not only of the Cambridge historiography on this subject but have also assisted the Nationalist and Marxist historians on the

partition of India to further sharpen their arguments and their view-points. However, the author of this research paper, herewith, wishes to raise two significant issues which have been ignored by these well-known and reputed historians. Firstly these important historians had very simply absolved the British from the responsibility of the partition of India whereas the author of the present paper is of the opinion that it was only with the help of the British that the All-India Muslim League under the leadership of Muhammad Ali Jinnah consolidated its demand for Pakistan which subsequently led to the partition of India. No doubt the tactical errors of the Congress also proved beneficial to the success of the Muslim League.<sup>10</sup>

Secondly, the author of the present paper is of the opinion that in 1937 the Muslim League and Jinnah were neither defeated by and nor betrayed by the Congress. Muslim League and Jinnah, in fact, were defeated and challenged in their own constituencies. Muslims of India did not accept the Muslim League as their representative body and at the same time provincial Muslim leaders also refused to support or collaborate with the Muslim League. The author of this paper is of the view that the Muslim psyche and Jinnah was not offended with the attitude of the Congress because of the events of the 1937 but it was the attitude and behaviour of the Muslims of India towards Muslim League itself which led to a change in the politics of the Muslim League. Once defeated Jinnah and Muslim League realized the need to transform the nature, programmes, methods and tactics of the Muslim League, in order to project the League as the sole representative body of the Muslims of India.<sup>11</sup>

The interpretations of David Page, Peter Hardy, R.J. Moore and Farzana Shaikh on the Muslim Communal Politics and partition of India, according to the present author, may be placed into the second category. The historians of this category are of the opinion that whatever assumptions of politics and political identity of Muslims of colonial India were, that were directed by the forces of colonial policy and constitutional measures which led to the emergence and growth of the Muslim communal politics and subsequently resulted in the partition of India.

R.J. Moore provides useful and important insights regarding the British policy and strategy towards Independence and partition of India. According to his opinion the British constitutional strategies helped to shape both the forces of the Muslim separatism and of the Indian nationalism. It was on the basis of the Government of India Act of 1935 that the Congress adopted the authoritarian attitude, and it was this Congress authoritarianism which in turn, shaped the response of the Muslim League. The Congress provincial ministries began to operate as the autonomous governments with in a federal structure, they accepted the Congress Working Committee as the legitimate directorate of a unitary government. The monolithic Congress stood in the place that the unitary Raj had vacated. This was the beginning of a new unitarism in the Congress which seriously affected its relations with the Muslims.<sup>12</sup>

R.J. Moore further argues that the emergence of powerful provincial interests in the Muslim majority provinces was a stepping stone to Pakistan. The Government of India Act of 1935 created autonomous Muslim provinces which encouraged the Muslim League to convert the process of provincialization into the process of the establishment of separate sovereign state of the Muslims. This was Jinnah's tyrannical idea formulated to prevail over the Congress totalitarian claim to be the Indian nation in microcosm.<sup>13</sup>

David Page examines the period from 1920 to 1932 when political interests were consolidated around communal issues and the Muslim attitude were consolidated towards the eventual withdrawal of imperial control. David Page is of the view that in the consolidation of political interests around communal issues, the imperial power played an important role. By treating the Muslims as a separate group, it divided them from other Indians. By granting them separate electorates, it institutionalized that division. This was one of the most crucial factors in the developments of communal politics. The Muslim politicians did not have to appeal to the non-Muslims and the non-Muslims did not have to appeal to the Muslims. This made it very difficult for a genuine Indian nationalism to emerge and after the introduction of Dyarchy Communal antagonism became a permanent feature of provincial politics. David Page further argues that the increased Muslim belligerence during the early 1930s forced the government to make the Communal Award, which in turn made Muslim Raj in Punjab and Bengal a real possibility and set the scene for the emergence of the Pakistan movement.<sup>14</sup>

Farzana Shaikh in her study has dwelt upon the issue of the quest for community among the Colonial Muslims. She argued that the Community consciousness among the Muslims of Colonial India led to the demand for separate electorate. The British conceded to the demand and the representation of the Muslims under the colonial government led to the logic of the parity and subsequently the partition of India. Farzana Shaikh has further asserted that the notion that Muslim representation was a trust, delegated exclusively to Muslim, was critical to the political consolidation of the League as the authoritative spokesman for Muslims in India and this political position of the Muslims of colonial India resulted in the demand and establishment of the sovereign state of Pakistan.<sup>15</sup>

Peter Hardy was the first historian of the Cambridge School who has discussed at length the issue of the constitutional measures and the emergence and growth of the Muslim communal politics during the Colonial India. He has argued that the Muslims during the 1920s acquire a constitutional identity and enter into all India politics. Peter Hardy has suggested that the constitutional measures not only strengthened the demand of partition in the Muslim majority provinces but also its demand was consolidated among the Muslims of the Muslim minority provinces. Interestingly, Peter Hardy has asserted that the establishment of Pakistan and the partition of India was not only the territorial partition of India but it was also the partition of the Muslims of Colonial India.<sup>16</sup>

The issues of the colonial policy and the constitutional measures during the Colonial India have been well examined by the above said Cambridge historians. These scholars have dwelt upon in length the evolution of the constitutional institutions and how these institutions were responded to by the Muslims of the Muslim majority provinces and the Muslims of the Muslim minority provinces. The author of the present paper, however, realize that these significant studies have focused only a little on the nature, character, ideology and programmes of the All-India Muslim League itself which of course is an important aspect of the study of the Muslim communal politics and partition of India.<sup>17</sup>

The interpretations of Paul Brass, Stanley Wolpert, Ian Talbot and David Gilmartin may be placed in the third category. These historians have explained the emergence and growth of the Muslim Communal politics and Muslim separatism during the Colonial India in terms of the adoption of religious values, religious symbols and Islamic idioms by the Muslim political elites. Paul Brass has suggested that the growth of the Muslim separatism in India was determined and manipulated by the Muslim elite whose propaganda based on communal identification was responded to by the Muslims of India. Paul Brass further argues that the Ideology of the Muslim separateness did not flow out of the objective differences between the Hindus and the Muslims but out of the use made of those differences through a conscious process of symbol selection. Nor was it the consequences of the objective circumstances of the Muslims in United Provinces, who were better placed than the Hindus in urbanization, literacy, English education, social communications and government employment. Paul Brass took the view that the Muslims political elite played a significant role in wining support for separatism, and he provides less importance to the part played by the religious institutions in arousing the thought of separatism.<sup>18</sup>

Stanley Wolpert, the biographer of Jinnah, has added new dimensions to the study on the Muslim communal politics and partition of India. His study revolved around the activities and leadership of Muhammad Ali Jinnah and he has credited Jinnah with the alteration of the course of Indian history. Stanley Wolpert is of the view that Jinnah and Muslim League was serious about the establishment of a sovereign state of Pakistan as early as in March 1940.<sup>19</sup> Through the biographical discourses of Jinnah, Stanley Wolpert has argued that the Muslim elite under the leadership of Jinnah, at the national and provincial level, made a cynical misuse of the Islam and of the religious symbols. The tactical measures and the leadership strategies of the Muslim league and Jinnah, based on the religious mediums, culminated in the formation of the separate State of Pakistan.<sup>20</sup>

The interpretations of Ian Talbot and David Gilmartin have dealt with the Muslim politics of the Colonial Punjab and the emergence of Pakistan. Both these scholars have argued that the Muslim elite of the Punjab, collaborated with the British and established the Muslim political hegemony in the Punjab before the Second World War. The cynical misuse of the religion by this elite led to the emergence of Pakistan and the partition of India. Ian Talbot and David Gilmartin have further suggested that Jinnah and the Muslim League had been successful enough in mobilizing strong support of the rural landed elite, clan leaders, *Pirs*, *Sufis* and *Sajjada-Nashins* who subsequently won

over the Muslim of Punjab for the cause of the Muslim League and Pakistan. The Punjabi Muslims were exhorted to support Pakistan, identifying themselves with the Prophet and Quran, and the *Pirs* and *Sufis* played a vital role in this process.<sup>21</sup>

The author of the present paper, now, wish to add one more aspect to the interpretations of this category of the Cambridge historiography on the Muslim Communal politics and partition of India. The present author is of the view that the growth of the Muslim communal politics, Muslim League and the demand of Pakistant was not only strengthened from above but also from below. The Muslim League's brand of puritan pristine and Arab-inspired Islam marginalized the rural landed elites, clan leaders, *Pirs*, *Sufis* and the *Sajjada-Nashins* and it had also eroded the social bases of the Muslim elite, thus these classes had no other option but to join the cause of Pakistan. The extensive use of the religious symbols and Islamic appeals aroused the common Muslims-rural and urban-to participated in a powerful mass movement for the demand of Pakistan.<sup>22</sup>

The studies of Ayesha Jalal, Asim Roy, Ajeet Jawed and Ian B. Wells may be placed in the fourth category of those Cambridge historians who have focused on the Muslim Communal politics and the partition of India. By focusing on the role played by M.A. Jinnah, the scholars of this category have traced the development leading to the Muslim Communal politics and the demand of Pakistan. However, these scholars are of the view that the establishment of the separate state was not the goal of the Muslim League and of M.A. Jinnah. According to Ayesha Jalal and other scholars of this category the Lahore Resolution of March 1940 was a bargaining counter, which had the merit of being acceptable to the majority provinces of the Muslims and of being totally unacceptable to the Congress and in the last resort to the British also. Contrary to the conventional historiography on the partition of India these historians have suggested that the demand of Pakistan, for the Muslim League and Jinnah, was only a bargaining counter till as late as in 1947.<sup>23</sup>

Ayesha Jalal has further argued that Jinnah's Pakistan did not entail the partition of India, rather it meant its regeneration into a union where Pakistan and Hindustan would join to stand together proudly against the hostile world without. This was not clarion call of pan-Islam, this was not pitting Muslim India against Hindustan, rather it was a secular vision where there was real political choice and safeguards, the India of Jinnah's dreams, a vision unfulfilled but noble nonetheless. Ayesha Jalal has asserted that Jinnah did not want Pakistan nor did he will it, however, lastly he had to yield to it because he had no control on the other forces, thus the creation of Pakistan was the tragic collapse of Jinnah's strategy<sup>24</sup> Asim Roy in his scholarly essay has followed the historiography of Ayesha Jalal and he has termed it as a revisionist historiography on the Muslim Communal politics and the partition of India<sup>25</sup>.

It appears that the historians of this category of the Cambridge school have taken up the task of historical reconstruction by taking upon themselves the challenge of demolishing the interpretations on the role of Jinnah and the Muslim League for the partition of India or the making of Pakistan. The author of this paper is of the view that the historians of this category have very forcefully told their readers what Jinnah and Muslim League did not want but these scholars have not told their readers what Jinnah and Muslim League did want? If Jinnah and Muslim League were not serious about the foundation of a Sovereign state of Pakistan then why did Jinnah and the Muslim League muster the immense popularity of the demand of Pakistan among the Muslims of Punjab, Bengal, Sindh and North-West Frontier Province?

The writings of Anita Inder Singh, Yashmin Khan and Narender Singh Sarila can be placed in the fifty category. The historians of this category have discussed two issues. Firstly, the Muslim separatism in colonial India and the partition of India was the interplay between the three major political players i.e. the British, the Indian National Congress and the All-India Muslim League<sup>26</sup>. Anita Inder Singh has discussed at length the relationship which existed between the Congress, Muslim League and the British. She has also discussed the growth of the Muslim League in the Muslim Majority provinces and the role played by M.A. Jinnah in the foundation of a Sovereign state of Pakistan. Anita Inder Singh has argued that the Muslim League and Jinnah were serious about the demand for Pakistan and she has also apportioned the responsibility for partition on the role played by the Congress and the British Raj<sup>27</sup>.

The Second issue which has been raised by this category of historians is regarding the beginning of the process of decolonization with the partition of India. Anita Inder Singh has suggested

that the partition of India and the transfer of power to India and Pakistan in August 1947 was the first major act of decolonization by the British with far reaching consequences on their international status<sup>28</sup>. Yashmin Khan has also argued that the partition of India has been celebrated, in the British thinking at least, a successful act of British decolonization in comparison to the complications that bogged down other European powers in South East Asia and Africa<sup>29</sup>. Similarly Narendra Singh Sarila has also made an attempt to study the crucial link between India's partition and British fear about the USSR gaining control over the oil wells of the West Asia - the wells of power. Once the British leaders realized that the Congress would not join them to play the great game against the Soviet Union, they settled for those willing to do so. In the process they did not hesitate to use Islam as a political tool to fulfill their objective and thus landed full support to the Muslim League. This study also dwelt upon the issue of pressure from the USA exerted on Britain in favour of India's independence in the hope to evolve a new post-colonial interest<sup>30</sup>.

The inter-play between the Congress, Muslim League and the British and the issue of the decolonization have been well examined by this category of the Cambridge historians. However, these scholars have left certain issues/questions unanswered and unattended to. Was it only the activities and leadership of Muslim League and Jinnah which led to the partition of India and the establishment of the Sovereign state of Pakistan? Was it only the high politics of the Congress, Muslim League and the British which subsequently led to the partition of India? What about the results of the struggle between the powerful national movement under the leadership of the Congress and the Muslim mass politics under the leadership of the Muslim League ?

It is obvious from the foregone discussions that a lot have been written on the Muslim Communal politics and the partition of India by the imperialist and Cambridge historians and scholars. Needless to say that these scholars have produced a very valuable and voluminous literature of ever lasting historical significance. However as is the case with every aspect in the study of history, here too there is a room for further analysis. The availability of new sources, access to more private papers, ever evolving tools of historical research and the applications of the interdisciplinary approach will help the Cambridge historiography to further enrich its study on this significant and crucial subject of the modern Indian History.

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## THE IMAGE OF A 'DRUNKEN SCYTHIAN' IN GREEK TRADITION

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### Abstract:

Since the Greeks first came into contact with Scythian populations (who should be understood as a great conglomerate of various groups of peoples inhabiting the north Pontic steppes), many negative clichés concerning the Scythians occurred in Greek tradition. One of them is the stereotype of drunkenness among the Scythians and their lack of urbane manners that were commonly accepted by Greek society. This image of a drunken Scythian may have been created in Greek tradition due to the fact that the Scythians (Scythian aristocracy in particular) adopted the Greek tradition of the drinking of wine. This is visible in archaeological material from the northern Black Sea areas, where many amphorae and wine jars have been found in Scythian tombs. However, written sources indicate that the Scythians did not mix wine with water and this did not correspond with Greek customs, according to which drinking unadulterated wine was extremely 'barbarian' and inappropriate. This in turn may have become a catalyst behind the concept of drunkenness amongst the Scythians.

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**Key Words:** Scythians, Greeks, symposion, wine, the Black Sea

### Introduction:

When studying the issue of the image of the Scythians in antiquity, the first thing that should be mentioned is the fact that the ancient Greeks used the name 'Scythians' to describe all nomadic populations inhabited vast territories of the steppes north of the Black Sea. In turn, in the territories of Asia, the Scythians were known as Saka. Both the Scythians and Saka were in fact a group of various tribes that shared a common Iranian origin, who were scattered across the Eurasian Steppe. The first time that the Greeks came into contact with the Scythians can be traced to the 7<sup>th</sup> century BC, when the first Greek settlements were established on the northern Black Sea shores. Since that time, the Scythians were constantly present in Greek tradition and many ideas were developed regarding these people. These ideas were often purely fictitious and they were based on commonly repeated notions of a nomadic people and their way of living. Since the time of Homer, nomads were associated with the people 'who drink mare's milk and live in poverty' (Hippemolgi and Abii, Hom. *Il.* 13.5; *cf.* Str. 7.3.7; for more information see Shaw 1982/3, 5-31).

A few centuries later, Herodotus wrote his famous Scythian *logos*, which had a great impact on later literature. The *logos* was also an important source of information about the Scythians and their customs, which was educational for those Greeks who did not have direct contact with the Scythian culture. Herodotean excursus on the Scythians, their customs, the geography and ethnography of Scythia, nomadic peoples, and the geography of north-east Europe created a larger corpus of Greek written tradition with regards to the Scythians. Resulting from this, a common myth was created amongst Greek writers and poets of the Scythian image, the so called 'Scythie imaginaire' (see Lévy 1981, 57-68). In his work, Herodotus tended to represent the Scythians as diametrically opposed to the Libyans in terms of both their culture and the land that they inhabited. According to this view, the Scythians were the youngest people in the world and their territory was placed in the far north where the weather is severe and wintery (unlike the Libyans who were considered to be the oldest people and who lived in an area where the climate was warm and summery), (see Hartog 1988).

It is visible in both written and archaeological sources that the Scythians were present in classical Athens as a police force. They were often represented on Athenian black-figured vessels as archers and they were also depicted as important comic figures (as a savage barbarian) in the Old Comedy (see Bäbler 2005, 114-122; Hall 1989, 38-54; Ivantchik 2005, 100-113; Jongkees-Vos 1963).

It is assumed that in Athens, the Scythians were commonly known as good archers and as a result they were often called 'toxotai' (gr. 'archers'); this was commonly understood as 'Scythian archers'. Moreover, by calling an Athenian 'toxotes' (gr. 'archer') was to call him a 'Scythian', although Greek archers are also attested in literary sources (Braund 1997, 49). It is also suggested by scholars that the representations of Scythian archers on Attic vases may have become a standard representation of an archer-hero in general, although this did not necessarily indicate the hero's ethnicity (Ivantchik 2005, 100-113). This demonstrates how popular depictions of the Scythians were in Athenian everyday life and how recognizable the Scythians were to Greek society.

### Main Text:

What is of most importance is the fact that the Greeks created common stereotypes about the Scythians; one of the most striking is the depiction that these people had a strong tendency for drunkenness. This was strongly combined with the fact that the Scythians were commonly known in Athens as those who drank unadulterated wine. From a Greek point of view, this practice was both radically opposed to their own custom and was directly associated with immoderate drinking, which was considered to be barbarian, that is inappropriate and 'uncivilised'. The Greek poet, Anacreon encouraged drinking wine that was diluted to the ratio 1:2. He also suggested to give up the Scythian fashion of drinking unmixed wine and listen to beautiful songs, instead of the uproar and din that was usually heard over the cups (Anacreon 76, preserved in Ath. 11.427a; transl. Lissarrague 1990, 91):

Ἄγε δὴ φέρ' ἡμῖν, ὦ παῖ,  
 κελέβην, ὅπως ἄμυσιν  
 προπίω, τὰ μὲν δέκ' ἐγγέας  
 ὕδατος, τὰ πέντε δ' οἴνου  
 κυάθοθς, ὡς ἀνυβριστὶ  
 ἀνά δηῦτε βασσαρήσω.  
 Ἄγε δηῦτε μηκέτ' οὔτω  
 πατάγω τε κάλαλητῶ  
 Σκυθικὴν πόσιν παρ' οἴνω  
 μελετῶμεν, ἀλλὰ καλοῖς  
 ὑποπίνοντες ἐν ὕμνοισ.

Boy, bring me  
 A cup, to drink at a gulp;  
 Mix ten measures of water and five of wine,  
 So that once again and peacefully  
 I may honor Dionysus.  
 Let's not fall  
 Into riot and disorder  
 With our wine, like the Scythians,  
 But let us drink in moderation  
 Listening to the lovely hymns.

In the Classical period this representation of the Scythians, as barbarians that drink neat wine, was used as an example of how the Greeks should not behave during the symposium. This is visible on sympotic vessels where some Athenian drinkers appear wearing a characteristic Scythian cap (Lissarrague 1987, 111, Lissarrague 1990, 90-1; Osborne 2007, 38). As Osborne demonstrates, this kind of image played an important role in 'projecting identities' during the symposium. In this particular case, the image of the drinker with a Scythian cap represents a bad symposiast, someone who projects a Scythian identity and acts in a barbarian manner. The drinkers who viewed such images on vessels were aware of how they would be seen by other symposiasts if they did not keep to the urbane rules of the symposium, that is they would be projecting a Scythian identity, an identity of a savage 'barbarian' with no manners (Osborne 2007, 38). The Greeks even created words for this

practice. Σκυθίζειν means to drink or behave like a Scythian, i.e. to drink immoderately, and ἐπισκυθίζειν, which means to pour out drink in Scythian fashion, that is with unmixed wine (Lissarrague 2002, 111; Liddell-Scott 1996). This depiction of wine-drinking Scythians has a very long written tradition. Since Anacreon appears to provide the example of the Scythian drinking manner as an obvious and well-known literary *topos*, it can be assumed that this motif must have occurred as early as the 6<sup>th</sup>/5<sup>th</sup> century BC.

The Scythian custom of drinking unmixed wine is also attested in later written sources. When mentioning the problem of drunkenness, Plato informs us in his *Laws* that the Scythians and Thracians drink neat wine (Plato, *Laws* I 637 d,e, transl. R. G. Bury):

ἔτι γὰρ οὖν εἴπωμεν πλείω περὶ ἀπάσης μέθης: οὐ γὰρ σμικρὸν ἔστιν τὸ ἐπιτήδευμα οὐδὲ φαύλου διαγνῶναι νομοθέτου. λέγω δ' οὐκ οἴνου περὶ πόσεως τὸ παράπαν ἢ μή, μέθης δὲ αὐτῆς πέρι, πότερον ὥσπερ Σκύθαι χρῶνται καὶ Πέρσαι χρηστέον, καὶ ἔτι Καρχηδόνιοι καὶ Κελτοὶ καὶ Ἰβηρες καὶ Θρᾶκες, πολεμικὰ [637ε] σύμπαντα ὄντα ταῦτα γένη, ἢ καθάπερ ὑμεῖς: ὑμεῖς μὲν γάρ, ὅπερ λέγεις, τὸ παράπαν ἀπέχεσθε, Σκύθαι δὲ καὶ Θρᾶκες ἀκράτῳ παντάπασι χρώμενοι, γυναῖκές τε καὶ αὐτοί, καὶ κατὰ τῶν ἱματίων καταχέομενοι, καλὸν καὶ εὐδαιμον ἐπιτήδευμα ἐπιτηδεύειν νενομίκασι. ('So let us deal more fully with the subject of drunkenness in general for it is a practice of no slight importance, and it requires no mean legislator to understand it. I am now referring not to the drinking or non-drinking of wine generally, but to drunkenness pure and simple, and the question is—ought we to deal with it as the Scythians and Persians do and the Carthaginians also, and Celts, [637e] Iberians and Thracians, who are all warlike races, or as you Spartans do; for you, as you say, abstain from it altogether, whereas the Scythians and Thracians, both men and women, take their wine neat and let it pour down over their clothes, and regard this practice of theirs as a noble and splendid practice; (...).')

Aristotle in his book on the drinking of wine and drunkenness also mentions that the Scythians, like other people who are courageous and have a hot temperament, tend to drink wine (Aristotle, *Problems* 3, 7 = 872a3). Another illustration of the Scythian tendency for heavy drinking can be found in Aristophanes' comedy *Lysistrata*. In the scene where the Scythian policemen appear, one of them is reprimanded by his leader for gazing in search of a tavern. This should be understood as an allusion to the Scythian fondness for drinking (Hall 1989, 46). This Scythian reputation must have been well known to the Athenian audience at the time of Aristophanes, since he took it for granted that the scene with the Scythian policemen would raise a laugh.

The same cliché was not only limited to the Scythians, but was also extended to the rest of the northern barbarians, such as the Celts and Germans. Posidonius mentions that the Germans drink milk and unmixed wine (preserved in Athenaeus 4.153e, transl. S. Douglas Olson):

Γερμανοὶ δέ, ὡς ἱστορεῖ Ποσειδώνιος ἐν τῇ τριακοστῇ, ἄριστον προσφέρονται κρέα μεληδὸν ὠπτημένα καὶ ἐπιπίνοθσι γάλα καὶ τὸν οἶνον ἄκρατον. ('The Germans, according to Posidonius in Book XXX (*FGrH* 87 F 2 = fr. 73 Edelstein-Kidd), eat whole joints of roasted meat for lunch, and drink milk and unmixed wine along with it').

The same stereotype of the barbarians drinking unadulterated wine (lat. *merum*) was also known amongst Roman historians. Tacitus informs us of a wine trade among the Germans and he adds that they are immoderate at drinking (Tac. *Germ.* 23, transl. A. J. Church, W. J. Brodribb):

proximi ripae et vinum mercantur. cibi simplices, agrestia poma, recens fera aut lac concretum: sine apparatu, sine blandimentis expellunt famem. adversus sitim non eadem temperantia. si indulseris ebrietati suggerendo quantum concupiscunt, haud minus facile vitiis quam armis vincentur. ('The dwellers on the river-bank also buy wine. Their food is of a simple kind, consisting of wild-fruit, fresh game, and curdled milk. They satisfy their hunger without elaborate preparation and without delicacies. In quenching their thirst they are not equally moderate. If you indulge their love of drinking by supplying them with as much as they desire, they will be overcome by their own vices as easily as by the arms of an enemy').

Almost the same expression occurs in Diodorus with regard to the Celts (Diod. *Sic.* 5.26.3, transl. C. H. Oldfather):

κάτοικοι δ' ὄντες καθ' ὑπερβολὴν τὸν εἰσαγόμενον ὑπὸ τῶν ἐμπόρων οἶνον ἄκρατον ἐμποροῦνται, καὶ διὰ τὴν ἐπιθυμίαν λάβρῳ χρώμενοι τῷ ποτῷ καὶ μεθυσθέντες εἰς ὕπνον ἢ μανιώδεις διαθέσεις τρέπονται ('The Gauls are exceedingly addicted to the use of wine and fill

themselves with the wine which is brought into their country by merchants, drinking it unmixed, and since they partake of this drink without moderation by reason of their craving for it, when they are drunken they fall into a stupor or a state of madness’).

### Conclusion:

When analysing this Scythian cliché in ancient literature and art, it is worth noting that this stereotype was created by the Greeks who did not have direct contact with the Scythians. This image was based mainly on constantly repeated literary sources and was created not by the Greeks from the territories of the mixed Greek-Scythian ethnicity, but by the Greek poets (and craftsman) working in a Hellenocentric environment such as Athens. The stereotype was then repeated throughout the Roman period, and was extended to include other northern barbarians.

At the same time when this image occurred in mainland Greece, the Black Sea cities constantly came into contact with the Scythian world and created a new common space for mutual Greek-Scythian relations. Therefore, the source of this Scythian cliché should be found both in the relationship between the Black Sea Greeks and Scythians, and between the Black Sea Greeks and Athens. It is commonly known that both grain and wine were important factors behind establishing trade relations between the Black Sea cities and mainland Greece. Trade connections between Athens and the Black Sea area can be traced to at least the 5<sup>th</sup> century BC (Rutishauser 2007, 465-473). Wine may have been shipped to the Black Sea cities in exchange for grain. Rutishauser suggests a possible commercial triangle (attested in Pseudo-Demosthenes, *Against Lakritos*), according to which Athenian ships that were sent to the Black Sea region for grain, stopped at ports in the northern Aegean and took aboard cargoes of wine amphorae (Rutishauser 2007, 470). This trade model also allowed merchants information as well as commodities.

The custom of drinking wine was adopted by the Scythians (mainly by the Scythian aristocracy) from the Black Sea Greeks. This is visible in Scythian material culture, such as amphorae that have been found in the Solokha kurgan in the Ukraine, which contained two royal Scythian tombs and is dated to 500-450 BC (Rutishauser 2007, 471; Trofimova 2007, 28-29). The stamps that have been found on the amphorae indicate a north Aegean provenance. Also, a large number of Greek wine jars have been found in the vast Scythian territory north of the Black Sea, which indicates that wine became a very important feature of Scythian everyday life, which may have caused the reputation that they had for heavy drinking (for archaeological material see Minns 1913, 49; Kocybala 1978, 49-50). The first account of the Scythians and their tendency to drink wine might have been transferred to Athens and the Aegean islands via the Black Sea cities, which traded with the Scythian customers. This transference had an important impact on the process of creating the Scythian image amongst the Greeks through literature and art.

The reason why the Scythians were considered to be heavy drinkers may be closely related to the way that wine was drunk in Scythian culture. However, it does not have to be combined with the quantity of wine that was drunk, but rather with the custom of drinking itself. It is possible that the Scythian aristocracy did not mix wine with water, because it was not their tradition to do such a thing. Perhaps the Scythians preferred the taste of pure unmixed wine as we do nowadays. If we assume this to be the case then it seems likely that the Scythians did not use wine as a daily drink used to quench thirst, since they used other liquids for this purpose, such as water, unlike the Greeks, to whom the drinking of water (gr. ὕδροποσία) was as odd as drinking of unmixed wine. Another possible explanation might lie in the Greek idea, according to which the Scythians were a barbarian people of a hot temperament (according to Hippocratican category) and due to this fact they were naturally ‘attracted’ to heavy drinking. But what is of most importance is that this image of a drunken Scythian was vivid throughout centuries in Greek tradition and had a great impact on the understanding of the ‘Others’ (that is non-Greeks) by the ancient Greek society.<sup>271</sup>

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## CHANGES IN WALLACHIAN TOWNS AT THE BEGINNING OF THE MODERN TIMES. A CASE STUDY: THE ROLE OF THE MILITARY SERVANTS \*

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### Abstract:

This paper seeks to evaluate the role played by certain social groups in the changes occurring in Wallachia (historical province in modern-day Romania) at the end of the Middle Ages and the beginning of the modern times. Ever since the 14<sup>th</sup> century, urban centres emerging in the area between the Carpathians and the Danube followed a Central-European pattern, with representative local institutions (with a *Judex* and a council of 12 *Bürger* in charge of town's affairs) and relative autonomy (legal and economic rights, tax exemptions and so on). Although on the outskirts of Europe, the towns in the Romanian-inhabited area were also subject to the changes that swept through the continent after 1500. The central authority gradually became more powerful and intrusive, with a decrease in the role played by urban institutions. This process runs parallel to towns being “infiltrated” by new groups of people, who were more connected to the ruler than to the town community. Even though they would come to share the same place, the same streets and churches, and the same town domain with the townspeople, the newcomers had an advantage: they were not placed under the authority of the *Judex* and the town council. These were the military servants, called the *roși*, due to the colour of the clothes they wore in battle (“roșu” = red), accompanied into towns by the *slujitori* (=servants, literally), divided into mounted and foot soldiers. They were all freemen and held first and foremost military duties, their role increasing as the rulers could no longer rely on the country's army. The *roși* were well-to-do small nobles (called *boyars*), who owned land, while the *slujitori* were more modest in terms of wealth and origin, many descending from landless peasants. For this reason, they were allowed to settle into towns and to work the land on the ruler-owned town domain. This is also how they would become competitors for the townspeople, who also enjoyed this right. The ranks of these military servants were also joined by some town inhabitants, even if they were foreigners (Greeks), who found tax exemptions and a better life more appealing. In the second half of the 17<sup>th</sup> century, as the servants rebelled (especially between 1653 and 1655), the rulers gradually diminished their numbers. An increase in the obligations towards the Ottoman Empire led to the levying of new taxes from the servants, leading to the loss of this status by those unable to pay them.

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**Key Words:** Wallachia, towns, military servants, social impact

### Introduction:

The 16<sup>th</sup> century brought changes for many towns in the Romanian Principalities of Moldavia and Wallachia, as it did for many European towns. The continent itself was changing, and urban centres could not steer clear of „foul circumstance”, as a well-known Romanian chronicler, Grigore Ureche, put it. Geographic discovery had opened up a horizon unthinkable to the medieval man, bearing economic possibilities with consequences that the people of the time could not even come to imagine. Western Europe was gradually shifting its focus towards the Atlantic and America, with the Mediterranean Sea and the Levant becoming of auxiliary interest. Italian towns, Austria, the Ottoman Empire, and then Russia, which became increasingly unequal in status, would continue their rivalry, but the stakes would become regional, rather than continental. Another significant event, with deep implications, would sweep through the urban world and beyond, in the entire Europe: the Reformation. Not long after Luther's initiative in 1517, a good part of Central and Western Europe

would be torn by denominational dispute, which would rend through states, regions, towns and families alike. Although on the outskirts of Europe, in an area influenced both by the Latin world, and the Greek Orient, towns in the Romanian area could not avoid the shifts that the continent gradually faced after 1500. Our paper does rely on a recent landmark in historiography, Jaroslav Miller's work on "urban societies in Central and Eastern Europe". Where towns are concerned, Miller believes that there are five processes which are indicative of the changes that characterized the move from the Middle Ages to modern times: new forms of urbanization; an immigration much more diverse socially, religiously and socially; the Reformation and its impact; the creation of early modern states; high-level structural changes in European economy. These processes affected towns first of all by undermining the concept of "town" as a political and economic, autonomous entity, influencing the integrity of urban society as well (after a process of denominational, cultural, and social fragmentation)<sup>272</sup>. This paper seeks to bring a new approach, meant to help identify common features, as well as differences regarding the process of change in urban communities during the progress from the Late Middle Ages to modern times. We will take into account the obvious features present in Eastern Europe, which have impressed certain specifics on the above-mentioned change. Any historian interested in these aspects is faced with several challenges: first of all, the state of available sources (mostly documents and narrative sources), overall scarce; this improves as we progress towards Modern times. Another challenge, this time one of methodology, lies in the fact that we do not have as many insights into the urban life of the Romanian area prior to 1500 as we would wish. The reason is the lack of sources, so we had to resort to later sources to understand the historic process.

### Main text:

A few words on the less known Romanian Principalities. They are only late in emerging on the map of Europe, in the 14<sup>th</sup> century; Wallachia and Moldavia evolved as principalities with a very high degree of autonomy, with the first dependent on the kingdom of Poland, and the second, on Hungary. From the 16<sup>th</sup> century on, they come under Ottoman influence, which became ever-present in the region. Between the Carpathians, the Danube, and the Black Sea, towns emerged in the 14<sup>th</sup>-15<sup>th</sup> centuries, with their inhabitants following a pattern of organization borrowed from similar centres in Central Europe: they enjoyed internal autonomy, elected their own mayor (called *judex*) and a council, their trials were held by their own laws, but they did, however, pay somewhat large taxes to the ruler.

The signs of social, ethnic, and denominational changes can be seen in Wallachian towns in the latter half of the 16<sup>th</sup> century. Until that time, some of the oldest towns (Câmpulung, Râmnicul Vâlcea, Târgoviște and Argeș) held hints that the main role within the communities had been shared by Romanians with Germans and Hungarians. On a background of religious Reformation, the latter converted to Lutheranism, and a large part chose to cross the mountains into Transylvania<sup>273</sup>. They were replaced by people from the Balkans: Ragusans, Armenians, Italians, Jews, and even Turks. But 16<sup>th</sup> century sources pay even more attention to another group of people who become more present: the Greeks. We must point out that not all those referred to as "Greeks" in the sources were truly Greek, since this generic reference was actually an umbrella for various peoples arriving from south of the Danube and who shared the usage of Greek. This language, along with Ottoman Turkish, the official language of the Empire, was a true *lingua franca*, used in Church, daily communication, trade, etc<sup>274</sup>. Most had settled in towns, where they dealt in trade; this led to the name of "Greek" becoming synonymous with "merchant" in the Romanian area of the 17<sup>th</sup>-18<sup>th</sup> centuries<sup>275</sup>. There are hence some changes in the ethnic make-up, with urban communities becoming even more mixed, and people arriving from regions of Europe with different urban traditions, everything set against the central authority's trend towards reinforcing its power.

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<sup>272</sup> Miller 2008, p. 3.

<sup>273</sup> For the impact of Reformation in Moldavia, see Crăciun 1996.

<sup>274</sup> Stoianovich 1960, p. 290.

<sup>275</sup> Lazăr 2006, p. 107.

But foreign merchants or craftsmen are joined in Wallachian towns by locals as well, who are representatives of other social groups, which only highlights the loose structure of these communities. Our interest was drawn by two categories of people who are becoming even more present in towns at the end of the 16<sup>th</sup> century, namely those referred to as *curteni* (or *roși*) and *slujitori*. With several exceptions, only few Romanian scholars took interest in them, and even fewer were those who studied their presence and impact in the towns of the period<sup>276</sup>. This is why the present paper will seek – to the extent made possible by the sources – to explain why they are even more of them in towns, who supported them and to what extent their group influenced the urban environment.

The *curteni* (literally, “servants of the court”) were those in service of the ruler who were meant to ensure that the administration of the country performed better; but they also had important military duties<sup>277</sup>. What’s more, they even had a military chain of command: captains (Rom. *căpitani*, usually recruited from among the high nobility, called “boyars” in Wallachia)<sup>278</sup>, and lower ranks (Rom. *iuzbași*, *ceauși* and *vătafi*). Despite being dependent from the start on the ruler’s residence, they were free men, and fell into a particular category of their own when it came to tax matters<sup>279</sup>. From the latter half of the 16<sup>th</sup> century on, they are more often referred to as *roși* (Old Slav. *cerveni*, Rom. *roșu*, Engl. *red*)<sup>280</sup>, due to the colour of the uniform they wore in battle; this name change was partly simultaneous with the changes in their status. The increasing need for money exhibited by the rulers led to even more taxes being levied on these people, and they finally became more of a tax category than a military group<sup>281</sup>.

Not long after they are being referred to under the new name of *roși*, they can be met in towns. However, they were seen as a specific category, closer to nobility than to the townspeople. Some even came from among the ranks of the lesser rural nobility, but as part of them approached the towns, the *roși* began to emerge even among the sons of priests and merchants. One of the most renowned cases is that of Mihai from Târgșor, whose path in life is a very interesting one. At first, he seems like a common man, a townsman of Greek origin who had arrived here in order to deal in Eastern goods, fabric and clothing<sup>282</sup>. These earned him some money, but he becomes more influential by a different route, by the direct support of one of the most renowned rulers in Romanian history, Michael the Brave (1593-1601). The prince exempts him from military duty, on the one hand since some of the grand nobles intervened on his behalf, on the other, for a more “natural” reason: the ruler himself had a relationship with Tudora, Michael’s daughter, which later led to the birth of an illegitimate daughter<sup>283</sup>. Benefitting from protection, Mihai the Greek purchased various houses, lands and domains in his town and the adjacent areas<sup>284</sup>. During the reign of the next prince, Radu Șerban, Mihai continues his climb on the social and material ladder, and is granted exemption of all taxes, entering the category of the *roși*<sup>285</sup>. His case remains illustrative of how someone entering the urban community from outside it could “function” for a while within it and also acquire economic gain. Since Mihai had become a member of the privileged *roși*, he, but especially his inheritors found it easier to come closer to the rest of the nobility; this would allow some of them to follow a distinguished career. Mihai’s youngest son, Antonie, was prince of Wallachia between 1669 and 1672<sup>286</sup>.

The few data remaining reveals that the *roși* in towns were selected among those with a higher standing. Although insufficient for us to create a full picture, sources reveal them as people owning land, both in the towns which they inhabit, and in the villages, where they purchase lands and

<sup>276</sup> Filitti 1935, pp. 33-40; the best work on this subject is Stoicescu 1968.

<sup>277</sup> Grecescu 1963, p. 83, 150.

<sup>278</sup> Grecescu, Simionescu 1960, p. 102.

<sup>279</sup> Stoicescu 1968, pp. 15-19, 53-54.

<sup>280</sup> First mentioned in 1574 (*Documenta Romaniae*, VII, p. 219).

<sup>281</sup> Stoicescu 1968, p. 27, 31.

<sup>282</sup> *Documenta Romaniae*, XI, p. 35.

<sup>283</sup> *Documenta Romaniae*, XI, p. 59, 87; *Documente privind istoria*, II, p. 440; III, p. 72.

<sup>284</sup> *Documenta Romaniae*, XI, p. 381; p. 410 and 571; *Documente privind istoria*, I, p. 23; p. 30 and 38; Grecianu 1916, p. 199.

<sup>285</sup> *Documente privind istoria*, I, p. 89.

<sup>286</sup> Ionașcu 1938, pp. 5-15.

even serfs, and also engage in trading. Some of them became the foremost representatives of the communities which they were a part of, and were also invited as witnesses in various transactions.

Their increase in number certainly had some consequences on urban communities. Since they constituted a different tax category, the *roși* were removed from under the authority of the *judex* and the town council. When Mihai from Târgșor is acknowledged as part of the *roși*, the law issued by the ruler highlights his status keenly: “you, *judex*, with your 12 *Bürgers* and along with all the townspeople, as soon as you see this law of mine, are to keep well aloft of this servant of mine, Mihai, as of his house and his belongings, and no one should seek to cross him, for any such wrongdoer will face my punishment.”<sup>287</sup> However, the *judex* retains some of his duties for a while (including legal and taxing functions) regarding the *roși* in towns, even though he shares these duties with the ruler’s officials, who are given priority; the authorities elected by the town inhabitants lose influence<sup>288</sup>.

But why did some townspeople prefer to enter the ranks of the *roși* and have special status? As we have already suggested above, the answer most probably comes from the fact that the townspeople paid an ever-increasing number of taxes, and their amount was well over that owed by the *roși*. Furthermore, the *roși* were exempted of the tithes that countrymen usually paid<sup>289</sup>. This also included the townspeople who worked the land on the town domain. It would be enough to mention the wine tax out of all these tithes, and we would realize how important these exemptions were, given that many town inhabitants had vineyards and wine was a popular income-producing beverage. The bulk of the town population felt the tax burden growing, and this was why some were looking for various loopholes in order to evade it, one being the move into the above-mentioned privileged category. In turn, this eroded the fabric of the town community, which, in time, would come to be made up of people with different tax status. Along with merchants and craftsmen, whom we assume would continue to make up a large part of the town population, urban centres were populated by an ever-growing number of people which the *judex* and the *pârgari* had no power over. At the turn of the 18<sup>th</sup> century, the *roși* entered a new process of transformation, following the actions taken by prince Constantin Brâncoveanu (1688-1714)<sup>290</sup>.

They were joined in this process by the *slujitori* (=servants, literally), who were more modest in origin and mostly descended from peasants who no longer owned land, but also from foreigners, who provided their services at a cost and remained here. A well known decree passed by Michael the Brave has been preserved: in it, the ruler paid 3 to 5 thalers to those coming in to fight on foot or on horseback; these amounts would increase, depending on the position held in the army<sup>291</sup>. No matter their origin, those who satisfied the requirements to become military servants would enlist in the captains’ s corps, who usually lived in the towns. The servants, just like the *roși*, were registered with special status in the treasury. They had military, police, and tax duties, some of them being settled by the rulers on their own domains, especially in towns<sup>292</sup>. The fact that they occupied these domains is no accident, since the towns were considered property of the ruler. Urban domain was only provided to the townspeople with a temporary right to use, so the ruler allowed his servants to work them as well. Since they did not have these domains under full control (except for Câmpulung), urban communities failed to react, and silently accepted this intrusion by the rulers. It is true that the central authority also allowed military servants to settle only on some domains, especially those of newer towns, developed in the latter half of the 16<sup>th</sup> century.

Michael the Brave is credited with organizing the system of servants, since he felt the need for better military structuring; this can only be explained if we take into account the numerous actions of military kind in which the ruler participated (over an eight-year reign, Michael has led several campaigns in the Ottoman Empire, Transylvania and Moldavia). The servants can be found in larger numbers in the settlements which were slow to urbanize, in late 16<sup>th</sup> century. We are referring to market towns which Michael the Brave raised to town status and which were supported as a basis for

<sup>287</sup> *Documente privind istoria*, I, p. 89.

<sup>288</sup> *Documenta Romaniaae*, XXI, p. 37.

<sup>289</sup> *Documente privind istoria*, I, p. 89.

<sup>290</sup> Stoicescu 1968, pp. 71-75; Rezachevici 1989, pp. 98-102.

<sup>291</sup> *Documenta Romaniaae*, XI, p. 323.

<sup>292</sup> Stoicescu 1968, pp. 60-63.

his politics. Groups of military servants were set up on the Ploiești domain, recently obtained by the ruler<sup>293</sup>, as well as in the market towns of Caracal and Rușii de Vede<sup>294</sup>. The towns of Floci, as well as Târgșor and Gherghița would follow.

Sources refer to servants fighting on horseback at their own expense as *călărași*, while foot soldiers were called *dorobanți*. The latter were sometimes compensated financially (this is why they were rarely granted domains), and are more often encountered in larger towns (especially where the ruler resided) and less so in small towns<sup>295</sup>. As for the mounted soldiers, they are mentioned in most towns in the eastern side of Wallachia. They can be found in large numbers in Ploiești<sup>296</sup>, Râmnic<sup>297</sup>, but also in Buzău<sup>298</sup>. They could not fail to be present in Bucharest as well, where they seemed to dwell in relatively large numbers ever since before Matei Basarab's reign (1632-1654), and they will remain there during his reign too<sup>299</sup>. However, their vast presence here can be explained: on the one hand, as a town Bucharest is relatively new; furthermore, several rulers resided here, and they preferred to have their main residence in this place, on the Dâmbovița river<sup>300</sup>. It was natural for the ruler to have a group of servants at hand, ready to wage battle when called upon.

The data or the hints regarding the pursuits of military servants dwelling in towns are much fewer. We may assume that, when not going to battle, some traded goods, even though there is no direct information, since they are never referred to as "merchants"; this term is reserved for those in the respective guild. A craft is indicated for some of them, and it might stand for their current occupation. This is why there were servants who fought on horseback, but who are also noted as tanners, boot makers, or even soap makers<sup>301</sup>. However, these cases are rare, and they reveal that most servants handled business distinct from those specific to the townspeople or that they rather worked the lands on the town domain, instead of engaging in trade or any craft.

If some sources suggest that Michael the Brave played a significant part in rethinking the military servant system in the country, an increase in their numbers, especially in the towns, becomes obvious under Matei Basarab. It is estimated that, while in 1632 the army was made up of 12.000 soldiers, its numbers reached 40.000 people at the end of Matei's rule (8.000 *roși* and 10.000 servants)<sup>302</sup>. Matei Basarab, himself a former soldier, sought to have a more numerous army for several reasons, among them his wish to keep the throne (based on his rivalry with Vasile Lupu, the ruler of neighbouring Moldavia), but also to play a more important part on the local political stage (as part of his alliance with the prince of Transylvania)<sup>303</sup>.

The role and status of military servants goes through gradual changes as well. Their numbers decrease<sup>304</sup>. The cause for this was two-fold: some of the group representatives lost public confidence due to regular riots, and their numbers dwindled on account of the battles, famine and plague<sup>305</sup>. On the other hand, one role was also played by the more severe taxing conditions, as the country's duties towards the Ottoman Empire also increased<sup>306</sup>. We must also take into account the measures to reform the military system taken by Constantin Brâncoveanu, who also included the *roși* among servants, while the *călărași* and the *dorobanți* lost significance and were replaced by new categories<sup>307</sup>.

Towns were indirectly influenced after the servants and the *roși* settled in. Besides the fact that the *judex* and the *Bürgers* had no authority over them, the larger group of military servants had

<sup>293</sup> Sevastos 1937, pp. 825-827.

<sup>294</sup> Grecescu, Simionescu 1960, p. 94; Grecescu 1963, p. 90.

<sup>295</sup> Stoicescu 1968, p. 116.

<sup>296</sup> *Documenta Romaniae*, XXIV, p. 323; XXXVII, p. 155.

<sup>297</sup> *Documenta Romaniae*, XXIV, p. 516; XXXVIII, p. 79.

<sup>298</sup> *Documenta Romaniae*, XXI, p. 280; XXX, p. 173 and many other documents.

<sup>299</sup> Numerous testimonies in the local sources: *Documenta Romaniae*, XXI, p. 120, 375; XXII, p. 246, 357; XXV, p. 53, 159 and so on.

<sup>300</sup> *Documenta Romaniae*, XXV, p. 423; see also our considerations on this subject in Rădvan 2010, pp. 255-260.

<sup>301</sup> *Documenta Romaniae*, XXI, p. 169, 249; XXV, p. 67; Stoicescu 1968, p. 68.

<sup>302</sup> Stoicescu 1988, pp. 70-72.

<sup>303</sup> See Andreescu 1989, pp. 225-228.

<sup>304</sup> Grecescu 1963, p. 176, 206.

<sup>305</sup> Grecescu, Simionescu 1960, p. 147; Cernovodeanu, Binder 1993, pp. 86-88.

<sup>306</sup> Stoicescu 1968, pp. 32-33.

<sup>307</sup> Rezachevici 1989, pp. 100-104.

become a factor of instability, due to the riots occurring for political or fiscal reasons. One of the first movements ascribed to them was recorded by chronicles in 1626, and had a political nature (we cannot infer the social nature based on current information)<sup>308</sup>. Interestingly enough, the *roși* did not take any part in it, but they are noted as suppressing the riot by the same chronicles. Almost three decades later, the 1653-1655 period was marked by several riots of the servants (especially of the *dorobanți*), as part of a vast movement with causes that were both political (conspiracies of the nobles, challengers for the throne) and fiscal (taxes levied, wages not paid)<sup>309</sup>. The chronicles of the time provide enough detail for us to create a perspective on the impact on towns. Where numbers are concerned, the first significant role was played by the mercenary servants called *seimeni*, many of them Serbian in origin, who were joined by the foot soldiers (*dorobanți*)<sup>310</sup>. The noblemen took the harshest blow, but the acts of the rioters also overwhelmed the common town population, especially in larger cities, where the ruler resided. Prince Constantin Șerban (1654-1658) succeeded in temporarily appeasing the movement, by paying the wages of the servants and exempting them from several tax duties, but his attempt to take apart the *seimeni* group generated a new riot and created new victims among the nobility. It was at this point that the townspeople in Bucharest had a lot to suffer, as sources of the time mention: “they [the *seimeni*] plundered the houses of boyars and merchants and all those they could find”<sup>311</sup>; “the servants in Bucharest rose and pillaged all the monasteries and churches in town and in other parts and took whatever they could find there.”<sup>312</sup> Most town dwellings were made of wood at the time, so any spark could have caused a devastating fire, as it happened in towns in the Romanian countries until mid 19<sup>th</sup> century. The *roși* could not have taken part in it, and mounted servants participated when required by their captains and their political views<sup>313</sup>.

The presence of military servants in towns can also be explained by the specifics of Wallachian society in the final days of the Middle Ages. If we refer strictly to the urban world, we notice that, even though it had begun to follow a Central-European model, local conditions undermined the trend towards unity of people living here. In the Middle Ages, the town, a centre holding autonomy, was in fact a community which reunited people with mainly economic pursuits: merchants and craftsmen. At the end of this period, in keeping with the changes occurring in other parts of the continent, Wallachian towns also began to attract the most diverse of social categories. The central authority (the ruler), who claimed dominion over the country and implicitly over towns, had begun a process of consolidating its power, both in its relation with the nobles, and with other social categories. The settling of military servants into towns is part of this process, in our view. The *roși* were the lesser nobility, a force to be reckoned with, and which the ruler relied on not only in battle, but also for various taxation or administrative purposes (on county level). As for the servants, we may notice that they also gained importance because of the higher number of people without land or those who wished to attain a higher standing than that of mere workers of the land. Sources mention quite a few serfs who ran to town and who, by resorting to various deceptions, tried to enrol as servants, mounted or not. The servant status (since they could not reach the status of the *roși*) was superior and desirable for many of these people, and the rulers accepted those who could fit into this category or, as the case had it, rejected those who attempted to find their way into it by trickery.

The distinction between the *roși* and the servants also existed in towns. The *roși* were men of a certain standing, holding estate (houses and land in town, small domains in the neighbouring villages) and who were on good terms with the rest of the nobility. Instead, servants were more modest, and only used lands on town domains, competing with the townspeople; in time, some of the servants also obtained houses, vineyards or windmills in or around towns. The rulers tried to avoid the older towns (Câmpulung, Râmnicul din Vâlcea), where certain privileges could be invoked, and placed military servants especially on the domains of poverty-stricken towns or those ravaged by war and invasions, such as Gherghița or Floci. A second category of town dwellings where servants

<sup>308</sup> Grecescu, Simionescu 1960, p. 94; Grecescu 1963, p. 90.

<sup>309</sup> See Mioc 1959, pp. 53-83.

<sup>310</sup> Iorga 1910, pp. 187-210; Demény, Demény, and Stoicescu 1968, *passim*.

<sup>311</sup> Grecescu, Simionescu 1960, p. 116-123.

<sup>312</sup> *Catalogul*, VIII, p. 488.

<sup>313</sup> Demény, Demény, and Stoicescu 1968, p. 263.

played a major part are those that would become towns only later, supported by some rulers. Ploiești and Caracal are two examples. Lastly, there are servants in more peripheral towns, especially closer to Moldavia, such as Buzău or Râmnicul Sărat. This may be explained by the conflicts with Moldavian rulers, but also by the Mongol (*tatar*) threat, their attack waves coming in from the north of the Black Sea. Even though we can only rely on statistic sources, in the first half of the 17<sup>th</sup> century, servants seem to be more numerous in Eastern Wallachia (the area referred to as "Muntenia") than in the Western half (called "Oltenia"). This is no accident, and explanations for this division also point to how Western towns came under the ruler's control (and were also acknowledged as "towns") only in the 16<sup>th</sup> century<sup>314</sup>.

### Conclusion:

Although many military servants were based in towns, they were never seen as common townfolk. Their superior status also becomes evident in descriptions of the country assemblies, where they are situated above the townspeople, who are not even mentioned at times. This served to give value to their relation to the ruler, since the military duties of the *roși* and the servants made them more valuable "assets" than the townspeople and their economic duties. Sources clearly reveal the hierarchy of the time, with noblemen at the forefront, followed by the Church and the army, with townspeople and peasants at the end. Even decrees passed by the ruler are addressed first to noblemen and servants, and only then to the townspeople.

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<sup>314</sup> Rădvan 2010, pp. 167-170.

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## EDICTS OF KING PIYADASSI (AŚOKA) IN THE CONTEXT OF ETHNICITY

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### Abstract:

We live in a post-colonial era, when many theories and approaches to historiography have lost their validity because of the negative connotations of recent experiences, which left their mark on our perception of reality. Even if we are not aware of it, ideology quietly steals into our narrations of antiquity. For this reason writing history became extremely difficult. Many historians in the face of such threats may adopt the attitude of an archivist busily collecting and describing the sources available to us. The problem is that most of the available sources from antiquity, such as literary sources, inscriptions, artifacts, etc., have already been thoroughly described. Therefore, the only possible direction of development of research on antiquity seems to be the development of new directions of interpretation, and in this way, giving new narratives to the history. It is important to be more self-critical in our studies, to understand the ideas which affect our view on antiquity. That is why in my essay on the inscriptions of king Piyadassi (Aśoka) and his policy of *dhamma* which it expresses, in the context of the relations between the Mauryan Empire and the Greeks, I adopted an interdisciplinary approach by making use of contemporary theories on ethnicity, and especially two trends: research on hybridity and transculturalism (Kraidy) and the theory of the so-called middle ground (White).

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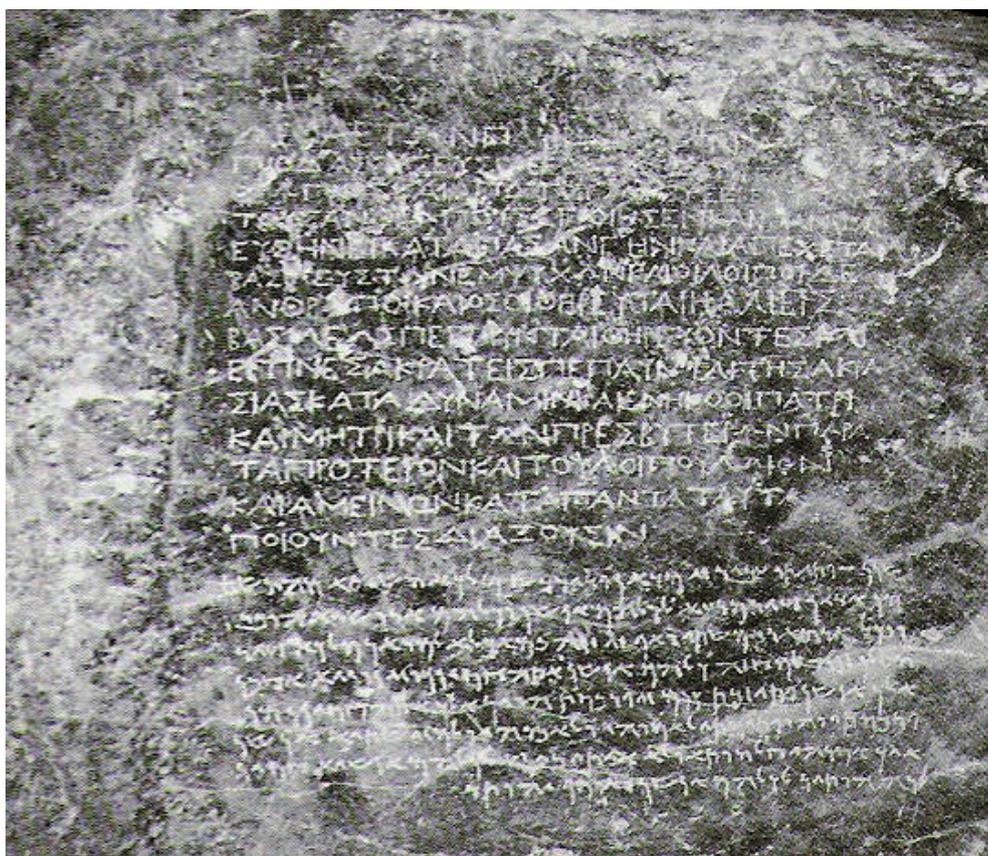
**Key Words:** Piyadassi (Aśoka), Buddhism, ethnicity, transculturalism, middle ground

### Introduction:

#### Towards new understanding

In 1958 the *Délégation Archéologique Française en Afghanistan* (DAFA mission) announced the discovery in Kandahar (Arachosia) of a bilingual Greco-Aramaic inscription of King Piyadassi (see: Schlumberger et al. 1958, Robert 1958, Pugliese Caratelli et al. 1964), which included precepts of the policy of *dhamma* (Greek *εὐσέβεια*) preached in Aramaic (the language of the Achaemenian chancellery) and in Greek, and addressed without doubt to the Greek inhabitants of the Mauryan Empire. Soon after that surprising discovery in 1964 DAFA published another inscription, this time entirely in Greek, which corresponds in large part to the content of the XII and XIII Rock Edict (RE) of King Piyadassi (see: Benveniste 1964, Schlumberger 1964, Norman 1972). These twin discoveries led some European researchers to investigate the correlation between the Indian phenomena and the phenomena from the Greek world. Nowadays such research is rejected as a symptom of Occidentalism, showing that Indian phenomena derived from western, indicating the superiority of European culture and sanctioning European supremacy. In recent years, another trend has emerged in the study of inscriptions of Piyadassi. This is somewhat ahistorical in so far as it examines these inscriptions in their interconnectedness without a deeper analysis of the socio-political context, and therefore passes over such issues as language, or geographical and historical background (see e.g.: Singh 2012). Such an interesting question as the state of intercultural relations between the Greeks and the Mauryan Empire has been completely silenced by modern orthodoxy. But Piyadassi surely did not fail to mention this issue in his edicts. Therefore, I believe that it is worth while resuming this topic, despite the inherent difficulties. Since the post-colonial experience led to the development of new concepts, such as ethnicity, ethnic identity, middle ground, hybridity, transculturalism etc., in this essay I attempt to examine the policy of *dhamma* in the context of these new studies to check the perspectives of those theories in the study of intercultural (or transcultural) relations in antiquity. I start with the presentation of Piyadassi, his legendary and real face. Then I examine the contacts

between the Greeks and the Mauryan Empire. And finally I outline the policy of *dhamma* to see subsequently how it presents itself in the context of contemporary research on ethnicity.



Bilingual inscription (in Greek and Aramaic) by King Piyadassi, discovered at Kandahar (National Museum of Afghanistan).

### Main Text:

#### Piyadassi Aśoka – legend and reality

The Mauryan Empire was undoubtedly the first empire covering virtually the whole of the Indian subcontinent. It was founded in 322 BC by Chandragupta Maurya (340 BC – 298 BC) and later expanded by his son Bindusāra Amitraghata (c. 320 BC – 272 BC) and his grandson Piyadassi Aśoka (304–232 BC). But while we have a lot of information in Greek and Latin sources (such as: Plutarch, Strabo, Arrian, Megasthenes, Diodorus, Ptolemy or Pliny) about Chandragupta (Greek: Σανδράκοτρος) and Bindusāra (Greek: Ἀμιτρογάτης), the Greeks did not tell us about their successor, Piyadassi Aśoka. And as Bloch (2007) noticed, what India relates about him is all a tissue of legends and miracles.

As Bloch relates (2007: 15-17), according to Buddhist sources Bindusāra had sixteen wives and hundred and one sons, of whom the eldest was Sumana (in Sinhalese sources) or Susīma (in Sanskrit sources) and the youngest was Tissa. His mother, who became the first queen by subterfuge, had another son, whose birth had caused her no pain, and so on this account he was called Aśoka (“without pain” from Pali *soka*, Sanskrit *śoka* “pain”). The king hated this child, whose body was rough to the touch, so the mother had to save him by carrying him away. When he had grown up, the king sent him to suppress a revolt in the Punjab, but gave him insufficient means in order to get rid of him. But through divine support, Aśoka won the hearts of the people and suppressed the rebellion without a fight. On the death of Bindusāra, an oracle designated Aśoka as his successor. Later Aśoka as the viceroy of Ujjayini (Avanti) rushed from Pāṭaliputra and began the killing of ninety-nine of his brothers. Only his youngest brother Tissa escaped. This and other horrific passages refer to the name

of “Aśoka the Cruel”, Caṇḍāśoka. In the Sinhalese story Aśoka changes his attitude after he is converted to Buddhism, while in that of the Buddhists from the North he retains his violent and cruel character even after his conversion, when he became “Aśoka of the Law”, Dharmāśoka.

Then follows the enumeration of the foundations of convents, of erection of monuments made on his order, the story of the Third Council which he chaired and of propaganda missions then decided. Miracles or novels of folk type abound in the story, such as that of his son Kunāla and the Empress Tissarakkhītā, which resembles the story of Phaedra and Hippolytus developed in the tragedy of Euripides. After the death of queen Asandhimittā, who was a pious Buddhist, Aśoka married Tissarakkhītā, a young, vain, unfaithful woman who fell in love with his son Kunāla and, rejected by him, assigned to him the government of Taxila in order to remove him. Later Tissarakkhītā forged a letter from Aśoka to the minister of Kunāla by affixing the seal with an impression of the Emperor’s teeth, in which she ordered him to tear the eyes of the prince, to lead him to the mountain and to abandon him there. Respectful of what he believed to be a paternal order, Kunāla had his eyes torn out by a pariah and travelled the country as a beggar. He reached Pāṭaliputra, entered the palace and, as he sang, the king recognized his voice; the case was solved, his stepmother was burned alive and her accomplices punished. As Bloch rightly noticed (Bloch 2007: 17), one can subscribe to the judgment of Kern (1956), that if we did not know Aśoka except from the Buddhist sources, from North and South, we would conclude that he was a sovereign of rare insignificance, remarkable only in so far as he was half monster, half idiot. His fellow believers have handed down not a single good deed on his part, not a single high feeling or a striking word.

The historical figure of Asoka remained obscure until 1837, when an official of the civil administration in Benares, James Prinsep, deciphered the Brāhmi alphabet, the earliest Indian script so far known to have been used for the writing of Sanskrit and Prākṛit, a script which developed over time, rendering previous versions archaic and unreadable. Prinsep was able to find the meaning of inscriptions on two columns of sandstone, lying in Delhi and Allahabad, but at first he attributed them to Tissa, king of Ceylon, guided by the title *devānaṃpiya* “friend of the gods”. Only later did he identify the title *piyadassi*, which in the Sinhalese chronicle *Dipavamsa* book VI (Oldenberg 2001: 41 ff.) is associated with the name of Aśoka. Nevertheless, it remained conjectural until 1915, when the only inscription which gives the name Aśoka was discovered in Maski.

Scholars unanimously agree as to the superiority of the genuine inscriptions issued by the ruler, the first signed and dated documents in all Indian history, over the legends. According to Bloch we are now in possession of authentic documents about a king, whose legend only attested his glory without really justifying it: “Nous voilà donc en possession de documents authentiques sur un roi dont la légende seule nous attestait la gloire sans vraiment la justifier” (2007: 18); the real man is not only much more alive, but more impressive than the legend: “l’homme réel est-il non seulement plus vivant, mais plus imposant que sa légende!” (2007: 40) John Strong in his book *The Legend of King Aśoka: A Study and Translation of the Aśokāvadāna* (1983) criticizes the tendency to interpret the Buddhist legends in the light of the inscriptions and vice versa. Indeed, scholars quickly realized the consequences which result from the fact that we first got to know Piyadassi Aśoka from the Buddhist sources. As Thapar rightly noticed (1960: 44), “Buddhist sources from Ceylon, Tibet and China contain fairly detailed accounts of his life. The Aśokan edicts were therefore interpreted on the basis of information provided by these sources. It is indeed unfortunate that in reconstructing his life and activities these and other religious sources were regarded as reliable and complementary evidence to that of his own inscription.” Although Thapar seems to realize the existence of this trap, nevertheless she could not avoid falling into it herself, just like Bloch and many other scholars, when she claimed that Aśoka is the proper name of the Emperor Piyadassi: “In the inscriptions, the author is described as *Devānaṃpiya Piyadassi rāja*, The Beloved of the Gods, the king Piyadassi. The king seldom used his personal name, Aśoka, and generally referred to himself by the above title. The identification of the king Piyadassi was made on the basis of a comparison with the Buddhist chronicles of Ceylon in which Aśoka is referred to as Piyadassi.” (Thapar 1960: 43)

If Aśoka was the proper name of the Emperor, then why would he use the title *devānaṃpiya piyadassi rājā* (in Greek version Πιοδάσσης) in his inscriptions? I agree with Benveniste (1964), who argues that the name *Piyadassi* (*Priyadarśin*), which is usually translated as a qualifier meaning:

“with friendly look” is in reality a proper name, not a qualifier and that it was the personal name of the king, while Aśoka was his nickname, which “may well have been a name taken by the king after he came under the influence of the Buddha’s doctrine” (Singh 2012: 134); the name Aśoka subsequently became established as a proper name by the Buddhist legend, after the Brāhmi script became unreadable and the historical figure of the Mauryan Emperor vanished. I do not preclude the possibility that the opposite is true, but on balance the authentic edicts of king Piyadassi should be given preference.

Nevertheless, I find it quite disturbing that the name Aśoka was so easily established in an ‘orthodox view’ on the history of the Mauryan Empire. But even more difficult to justify is the tendency of some scholars to translate the titles of the Emperor, as did Festugière, who even went so far as to compare the name *piyadassi*, rendered as “au regard amical” or “gracieux”, to Greek ἡρόος and the title *devānaṃpriya*, translated as “ami des dieux”, to Greek proper name Θεόφιλος (Festugière 1951: 33). Festugière’s entire article *Les inscriptions d’Asoka et l’idéal du roi hellénistique* focuses on a comparison of the policy of Piyadassi expressed in his Edicts to the ideal of the Hellenistic ruler. The starting point for the comparisons is the description of Alexander as an ideal ruler by Diodorus, borrowed from the Tarn’s book on Alexander (1948: 66). Festugière traces the parallels to the precepts of *dhamma* in the moral prescriptions (*παραγγέλματα*) and characteristics given to good monarchs in Greek sources, such as *φιλανθρωπία*, ‘the benevolence and kindness towards the subjects’ or *πόνος*, concluding the argument with the statement that Greece and India are two entirely different worlds: “Ce sont deux mondes entièrement divers.” (Festugière 1951: 46) So one might ask, what is the purpose of such comparison? A more likely interpretation is that similar processes occurring simultaneously in both cases led to the emergence of similar but probably independent concepts. The role that Stoicism served in Greece, Buddhism had to fulfil in India. As Festugière said of Stoicism, it justified reasonably the mixture of peoples which was the result of the conquests of Alexander: “justifia en raison le mélange des peuples qui fut la conséquence des conquêtes d’Alexandre” (1949: 306).

### **Contacts between the Mauryas and the Greeks**

To better understand the inscriptions of King Piyadassi in the context of transculturalism, we should look first into the relations between the Greeks and the Mauryan Empire. Long before the conquests of Alexander, areas between Greece and India were occupied by the vast and mighty Achaemenid Empire, whose satrapies stretched from the lands bordering with the Mediterranean to as far afield as the distant Bactria, Sogdiana, Gandhāra and Arachosia, acting as the rampart of India (see: Behistun inscription of Darius the Great). To hold their far-flung empire together the Achaemenids introduced Aramaic as an official language of the chancellery. It was influential to the extent that even Piyadassi was using it in his edicts. In Persian times Greek contacts with the residents of India were likely to be limited, although there are traces of Greek settlements in Bactria and Sogdiana, established as a result of the resettlement by Darius the Great of groups of population, the so-called Barkaioi and Branchidae (see: Amitay 2010: 42-3).

After the conquests of Alexander, in the time of the Diadochi, Greco-Indian relations seem to be more or less friendly, at least in so far as we can tell from the sources available to us. There is no mention of any battles, while the military campaign of Seleucus I Nicator (ca. 358-281) undertaken to recover the lands conquered by Alexander and lost to the emerging Mauryan Empire, ended in 305 BC with the conclusion of a treaty between Seleucus and Chandragupta Maurya (cf. Strabo XV 2, 9; Appian, *Syr.* 55), which established an alliance of friendship (*φιλία; pactio*) and of *connubium* (*ἐπιγαμία* or *κῆδος*). According to Scharfe (1971: 217-8) “These friendly relations were never interrupted – on the contrary, they were carefully cultivated.” Seleucus ceded Gandhara, Arachosia and Paropamisadae to Chandragupta in exchange for 500 elephants. As Scharfe writes in his article *The Maurya Dynasty and the Seleucids* (1971: 217), “Some historians have concluded that Seleukos must have suffered a military defeat, others that the pressures in western Asia forced a hurried return. They all overlook the fact that the treaty between Seleukos and Candragupta is more or less a copy of that between Alexander and Poros.” Scharfe argues that Chandragupta was conquered by Seleucus and lost his sovereignty to the Hellenistic ruler. As evidence to support his theory, he cites the title

*devānāmpriya* (*devānāmpriya*) attributed to the Mauryan rulers, which in his opinion is a translation of the Hellenistic court title *φίλος τῶν βασιλέων* ‘friend of the kings’ (1971: 215), whereas *φίλος τοῦ βασιλέως* was one of the group called *ἐταῖροι* at the time of Alexander, replaced by *φίλοι* under his successors. However, I think there is no sufficient evidence to support his thesis. Why, moreover, do none of the Greek sources mention the alleged victory of Seleucus over the Indian ruler? Was it not a sufficiently glorious accomplishment to boast of in front of compatriots?

While the issue of the sovereignty of the Mauryan Empire remains open and awaits further consideration, Greco-Indian relations were essentially good. This is evidenced by the fact that ambassadors were sent to the Indian court: Megasthenes to Chandragupta and Deimachus to Bindusāra (cf. Strabo II 1, 9); legates were sent by Piyadassi to the western kings: Antiochus II (261-247 BC), Ptolemy II (283-246 BC), Antigonus Gonatas (283-239 BC), Magas of Cyrene (275-250 BC) and the fifth king of the name Alexander (cf. RE XIII), and gifts and letters were also exchanged by Greek and Indian rulers, as shown by Von Hinüber in his article *Did Hellenistic Kings Send Letters to Aśoka?*, where he concludes that “[...] the royal correspondence of the Hellenistic kings would be another minute stone in the very fragmentary mosaic that must be put together if it is intended to trace relations between India and the West from direct evidence in ancient monuments and not only from equally fragmentary literary sources. This allows us to recover not only Iranian models suspected long since to be present in the inscription of Aśoka, but also stimulating thoughts perhaps derived from the then contemporary Hellenistic Greek culture.” (2010: 266) However, the approach presented here by Von Hinüber, which seems to me to be nothing more than the passion of a ‘butterfly-collector’, is something which I would like to avoid. I am presenting this evidence in sake of a deeper understanding of the processes taking place between the two Empires.

A very important insight into the cultural relations between the Mauryan and the Seleucid rulers is provided by the well-known anecdote of Hegesandros preserved in *Deipnosophistae* XIV 653 by Athenaeus, where Bindusāra (Ἀμυτροχάτης) asks Antiochus to send him grape-syrup, dried figs and a sophist, to which Antiochus replies, that the grape-syrup and the figs he will send, but it is not lawful to buy a sophist. This story was, probably already in antiquity, an opportunity to discuss cultural differences. That may constitute evidence that such differences were noticed and at least in this case, treated with a playful wink. But was this true in other cases also? We cannot forget that Athenaeus was an intelligent and erudite writer, and that his work was a dialogue taking place at a sumptuous banquet. But it is not excluded that, in other cases, these differences could have been discussed in less tolerant and liberal circumstances. Von Hinüber points to one very important matter, that this “[...] well-known anecdote mirrors the fact that there was some memory among the Greeks of close contacts between the Hellenistic world and India some four hundred years before the time of Athenaios or of the slightly older Hegesander. The correctness of the Indian name Ἀμυτροχάτης allows us to put a certain trust in the quality of the memory.” (2010: 265)

One of the most important, if not the most important, factor in Greco-Indian relations was the development of trade routes between the East and the West. As Pugliese Caratelli shows in his article *Asoka e i re ellenistici* (1953), trading was already carried out between Seleucid Syria and Central Asia, the great route was marked out in part by Alexander and later by the trade with China: the way to Bactria and the Kabul valley, evangelized by missionaries of Piyadassi, reached Taxila. Piyadassi himself recalls how his charitable initiative found its implementation even in the furthest realms. Everywhere in his empire and also in the neighbouring lands up to Taprobane (Ceylon), and to the lands of Antiochus the *yona* (*yavana*) king and the neighbouring kings of this Antiochus the king has set up two medical points, relief for men and animals. He planted everywhere medical plants and roots and fruit trees useful for men and animals and he dug wells and planted trees for refreshment of men and animals on the routes (see: RE II).

However, such favourable conditions for contacts between the two empires did not last long. Around 255 BC Bactrian Greeks under the command of satrap Diodotus revolted against the Seleucids and so cut off the Mauryan Empire from direct contact with the Greek world. Although in 206 BC Antiochus III renewed the alliance with Subhāgasena (Greek: Σοφαρασσηνός), probably a later Mauryan king, and again received war elephants (see: Polybius XI 34), still this situation was changed rapidly. In 185 BC the last Mauryan king Brihadratha was assassinated by Brahmin Pushyamitra and

the Śunga dynasty was established. Soon the Seleucid Empire also collapsed in confrontation with the Roman power. Thus two great empires ceased to exist, before the dialogue that took place between them was able to bring about long-term and profound changes.

### **The policy of *dhamma***

Smith in his book *Asoka, the Buddhist emperor of India*, which is the first monograph about Piyadassi, rightly noticed that “A difficulty experienced by all translators of the Asoka inscriptions is that of finding an adequate compendious translation of *dharma* and its compounds. ‘Religion’, ‘righteousness’, ‘truth’, ‘the law’, ‘the sacred law’, and, I dare say, other phrases, have been tried: all these are unsatisfactory. To my mind the rendering ‘piety’ or ‘law of piety’ seems the best. The fundamental principle of Asoka’s ethics is filial piety, the Latin *pietas*, the Chinese *Hsiao*, which is presented as the model and basis of all other virtues.” (1901: 6-7) I decided not to translate this term at all in order to avoid any possible distortion of its real meaning, just as Thapar (1960: 45) or Singh (2012: 131) have done. But I attempt to present a comprehensive view on the character of the policy of *dhamma* (Prākṛit form of Sanskrit *dharma*) promoted by king Piyadassi in his edicts, mainly in the Major Rock Edicts, but also in Minor Rock Edicts and in Edicts on Pillars. They constituted the larger group of the inscriptions of Piyadassi, while the smaller group consists of the declarations of the king to the *saṃgha* (Buddhist order of monks), where Piyadassi stands as intolerant and even fanatical.

My presentation is based primarily on the views of Thapar, who saw the need for a multi-dimensional view of the policy of the Emperor.<sup>315</sup> According to her (Thapar 1960: 44) “Aśoka was certainly attracted to Buddhism and became a practising Buddhist. But his was not an eccentric or sudden conversion as is clear from his own edicts. Buddhism in the context of society as it was then, was not just another religion. It was the result of a widespread movement towards change which affected many aspects of life from personal beliefs to social ideas. Any statesman with an understanding of the period would have had to come to terms with such an important new development.” Thapar believes that the fact that Aśoka chose this precise policy was influenced by many factors, not only the result of his conversion to Buddhism in consequence of recognizing the horrors of war during the conquest of Kaliṅga, as had previously been considered. The conditions which gave rise to this policy of *dhamma* were in her opinion:

1. Aśoka’s private beliefs;
2. His immediate environment (Chandragupta is said to have been a Jaina and Bindusāra favoured the Ājīvikas; both were non-orthodox sects, antagonistic to Brahmin ideas);
3. The 6th century BC in India, which was a century of questioning (variety of sects, vigorous debate and discussion);
4. Criticism of Brahmin values: privileges of priests, cast system etc. “Generally the less fortunate of the four castes (mainly *vaiśyas*) tended to favour the new sects as against their previous allegiance to Brahmanism. [...] Buddhism was, as it were, the spearhead of these dissident groups. It demanded a relaxing of the social rigidity encouraged by the caste system.” (Thapar 1960: 46);
5. Economic changes in northern India – a semi-nomadic pastoral economy was changing to a settled agrarian village economy (introduction of taxes, state supervision, opening up of trade on an extensive scale, increasing importance of *vaiśyas* – traders and merchants, establishment of guilds); “The volume of trade along the overland routes across modern Afghanistan and Persia to the Mediterranean ports, increased greatly. For the many Greek settlers along these routes, who were deserters from Alexander’s army and others, this east-west trade became a highly lucrative business. Regular trade was also conducted between Broach on the west coast of India, and Babylon. The communication of ideas

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<sup>315</sup>For those interested in the inscriptions of Piyadassi in their consistency as regards to the religious and socio-political program presented in them, I recommend reading the book *Reimagining Aśoka: Memory and History* by Olivelle, Leoshko & Ray (2012) or an article *Governing the State and the Self: Political Philosophy and Practice in the Edicts of Aśoka* by Singh, which “attempts a fresh interpretation of Aśoka’s political philosophy as expressed in his inscriptions, with a special focus on identifying their inter-connected ideas and arguments regarding the relationship between political power, goodness and violence.” (Singh 2012: 131)

must also have accompanied the trade in spices, textiles, precious stones and gold.” (Thapar 1960: 48)

6. And finally the nature of the Mauryan empire, which extended over vast areas and included a variety of peoples and cultures. “The hub of the empire was the highly Aryanised region of Magadha in modern Bihar. The extremities however were quite foreign to each other. The cosmopolitan Indo-Greek region of Gandhāra in the north-west, belonged to an almost totally different culture from the Dravidian south. [...] It would seem that the people of the Mauryan empire needed a focus or some common stand for all these conflicting or divergent forces, something that would draw them together and give them a feeling of unity. Such a focus would naturally have greater success if supported by the emperor, since the structure of Mauryan India invested control in the ruler at the centre. In fact the emperor himself was the author of a movement which aimed at this very object. In seeking a group of unifying principles, Aśoka concentrated on the fundamental aspects of each issue, and the result was his policy of *Dhamma*.” (Thapar 1960: 48)

The basic principles of this policy of *dhamma* were: toleration (towards other religious groups), non-violence (renunciation of war and conquest by violence, and a restraint on the killing of animals, but not fanatic religious precepts) and social-welfare (planting trees, digging wells, building rest-houses on the roads, which supported trade).

According to Bloch (2007: 31) Aśoka’s *dhamma* is the Buddhist “Good Law”, one of the Three Jewels, which recommends the essential virtues taught by both Brahmanism and by Buddhism: respect for life, that of the animals included, obedience to parents, truthfulness, charity (RE III, IV, IX, XI, 7, Minor RE II). There is no question of the conventional notions and features of the Buddhist doctrine, such as the Four Truths, the series of causes, nirvana; the very salvation is presented as the release from the circle of transmigration; whoever observes the Rule, will win this world, that is to say probably a good rebirth, and the other world, that is to say the heaven (*svaga*, Sanskrit *svarga*). Grousset (1941: 48) has well summarized the conclusions of modern criticism about the relationship of the *dhamma* taught by Piyadassi with Buddhism, arguing that his edicts had intended not to preach Buddhism as such, but to recommend a universal, or at least pan-Indian, morality that Brahmanism and Jainism might claim as their own no less than Buddhism. It is not less true, however, that this universal charity and universal tolerance seem directly inspired by the religion of Buddha.

Bearing in mind the universalistic character of the policy of Piyadassi, it might be worthwhile to return shortly to the article by Pugliese Caratelli about Aśoka and the Hellenistic kings (1953). According to him, the *dhamma* enthusiastically preached by the Indian king in the Hellenistic courts was regarded as equivalent to humanitarian principles, which were of Greek spirit. According to Pugliese Caratelli, the religious revolution from the age of Alexander, which was accompanied by radical changes in Greek political life, and born from the convergence of the speculations of the schools of philosophers (especially the Academia and then Stoa), from religious crises related to the events of the *poleis* and the decline of their freedom, and from the experiences of conquerors and politics in contact with other people - had inspired and fuelled the moral teaching of the Stoics and had extended its influence to a large sphere, among the people and in the courts. The new monarchs found in the new teaching ideas which served to justify their own personal power, or at least its representation under the guise of humanitarian notions. As we can see, similar factors account for the development of similar thoughts at the same time in both countries, but probably independently. What this shows is that the new society needed a new philosophy, because previous rigid forms did not fit in for the purposes of the society and its evolving ethnic identity.

It follows clearly that the policy of *dhamma* implied by Piyadassi was individualistic and dictated by the needs of the reality of his empire and not a fancy of some fanatic ruler. As Thapar rightly noticed “It was in the conception of this policy, seen in the context of Mauryan India, that the true achievement of Aśoka lay. He did not see *Dhamma* as piety resulting from good deeds inspired by formal religious beliefs, but as an emphasis on social responsibility. [...] The policy of *Dhamma* was a policy of social responsibility. It aimed at building up an attitude of mind in which social behaviour, the behaviour of one person towards another, was considered of great importance. It was a plea for the recognition of the dignity of man, and for a humanistic spirit in the activities of society.”

(1960: 45) According to Thapar, Aśoka understood the problems of his age, but his policy was too vague and too idealistic to unite the empire or produce a large scale enthusiasm.

Another point which is worth mentioning on the policy of *dhamma* is the new category of officers instituted by Piyadassi to implement his policy, the superintendents of *dhamma* (*dhammamahāmāttas*): “They were responsible for publicising *Dhamma*, acting as the reporters of the king and more generally for bringing the king and his government in touch with public opinion. They seem gradually to have developed into a type of priesthood of *Dhamma*, with extensive powers of interference in the lives of the people, thus to a degree nullifying their very purpose. They were also sent on missions to neighbouring countries and to various Hellenic kingdoms in the west. Aśoka was so convinced of the success of his *Dhamma* and of his attempts at encouraging Indian society to adjust itself to the changes, that he appears to have believed that his own efforts might be of help to other rulers elsewhere.” (Thapar 1960: 50) According to Singh (2012: 141) their mission was closely related to the problems of pacification and consolidation of the empire and the policy towards the unsubdued (*avijita*) neighbours. An interesting fact, introduced by Benveniste (1964), is that in the Greek version of the RE XII the administrative actions contained in the last line of Indian text, nominations of superintendents of *dhamma* and other officials, are omitted. It seems that only the moral content of the proclamation was made known to the Greeks, and that it deliberately ignores the desire that the king personally had to see these precepts followed everywhere, as well as practical steps that were taken to enforce them.

### **The policy of *dhamma* in the context of the theory of ethnicity**

Siân Jones in her book *The Archaeology of Ethnicity* (1997) examines the development of studies on ethnicity in the context of archaeological research; she describes two opposing perspectives: the primordial and the instrumental perspective, in the context of the consequent establishment of processual archaeology. Jones does not give here any ready answers to some fundamental difficulties in creating a coherent theoretical basis for research on ethnicity, if it is even possible to create such.<sup>316</sup> But she presents some important conclusions about the non-existence of “bounded, monolithic cultural entities”. It is perhaps an obvious statement, but one which in the context of research on antiquity is often overlooked. For our studies, the adoption of such a statement as the starting point is very significant: it becomes apparent that we cannot look at Buddhism as a monolith, and so the fact that in the *dhamma* of Piyadassi we do not find the basic rules of Buddhism will not be a surprise and we will not look for coherence at all costs. Instead, we should look at the inherent mixture in all phenomena, which is in contemporary theory known as hybridity.

Kraidy in his book *Hybridity, or the Cultural Logic of Globalization* (2005) presents the theory of critical transculturalism. It is based on the concept of hybridity, *mestizaje*, the theory of mixture, developed among others by Jean-Loup Amselle, who in his book *Mestizo Logics* expressed his belief “that mixture is originary” (Amselle 1998: x). Kraidy outlines the development of this idea from the theory of miscegenation in biology and its racist background; through the theory of syncretism in religion and its negative connotation in the context of Christianity; the theory of *mestizaje* and transculturation; *creolization* in language and culture; to post-colonial theory, where hybridity became a “fundamental dimension of intercultural relations” thanks to such scholars as Bhabha (2004); and to the “anti-hybridity backlash” due to realizing the theoretical uselessness and “neo-colonial” rhetoric of this theory. According to Kraidy (2005: 68) “hybridity is a discourse with a particular geopolitical directionality, and as a result should be treated with suspicion.” Thus he proposes to see the cultural relations between different groups in terms of transculturalism. “The prefix “trans” suggests moving through spaces and across borders, not merely between points. I use “transculturalism” to reflect my vision of culture as a synthetic, not holistic, entity. Unlike cross- or intercultural communication that tends to study contacts between individuals from different cultures that are assumed to be discrete entities, transcultural communication believes all cultures to be inherently mixed. It seeks to understand the depth, scope, and direction of various levels of hybridity

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<sup>316</sup> My goal is not to find a single coherent theory, but I adopted a functionalist approach, i.e. the theory serves to highlight or to explain certain phenomena.

at the social – not individual – level. Critical transculturalism integrates both discursive and politico-economic analysis in the study of international communication and culture.” (Kraidy 2005: 14)

In the light of this theory it is tempting to see the policy of *dhamma* of Piyadassi as a phenomenon which evolved as an example of transculturalism, in response to the needs of a new society and its hybrid cultural identity. Aśoka could address all people living in his realms and speak to them about Buddhism, because it represented a kind of hybrid (or transcultural) religion. This is illustrated perfectly by the social, economic and political conditions which gave rise to the policy of *dhamma* (presented by: Thapar 1960), as discussed above.

The relationship between the two cultures took place on the so-called middle ground, which I define as an imagined space of negotiations of relations between the two culturally different entities. White in his book *The Middle Ground* (1991) examines the process of accommodation (instead of *acculturation*, popular previously) in the context of colonization of America as taking place on the middle ground. He develops the theory of de Certeau (1984) about the strategies “of the strong” (dominant power) and tactics “of the weak” (dominated people). According to White (1991: 52) “Perhaps the central and defining aspect of the middle ground was the willingness of those who created it to justify their own actions in terms of what they perceived to be their partner's cultural premises. Those operating in the middle ground acted for interests derived from their own culture, but they had to convince people of another culture that some mutual action was fair and legitimate. In attempting such persuasion people quite naturally sought out congruences, either perceived or actual, between the two cultures. The congruences arrived at often seemed - and, indeed, were - results of misunderstandings or accidents.” One of the examples used by White to illustrate that theory is the example of an Indian woman Aramepinchieue, who used Christianity for the sake of preserving her own cultural traits. Her father Rouensa told her to marry Michel Accault to strengthen the relationship between Kaskaskia family and the French. But she refused to marry him and father Gravier supported her saying that she has the right to do what she wants. He did this because Accault had a bad reputation as a libertine and an enemy of the faith. He thus appealed to the desire of Algonquian women to return to their ancient culture, which gave them unrestricted sexual freedom. “Gravier, who sought to subvert traditional Illinois sexual practices because they contradicted Catholicism, and Aramepinchieue, who used Catholicism to maintain the values that supported those same practices, thus found themselves allies.” (White 1991: 72) It can be asked, what was the identity of Aramepinchieue? In my opinion, it was a hybrid identity of an Indian woman, who could not anymore live freely, as she did before, because of the strategy of the French colonizers, with the result that she used a tactic of apparently adopting a Christian identity to maintain her original freedom. We can try to look in the same way at cultural relations between the Greeks and the natives in ancient Bactria and North-West India. Maybe we will find that the Greeks assumed Buddhism for similar reasons to Aramepinchieue, because it was their tactic to achieve some goals in Indian society against the strategy of powerful Brahmins who established system of four *varṇas* and probably treated all foreigners as outcasts. For a short moment in the history of India the supremacy of Brahmanism was supplanted by the tolerant policy of *dhamma*. Maybe if the Mauryan Empire had lasted longer, Indian society would have looked completely different today.

Another possible example of accommodation may be the mysterious title “Δορσάνης · ὁ Ἡρακλῆς παρ’ Ἰνδοῖς” (“Dorsanes: Heracles among Indians”) in the Lexicon of Hesychius of Alexandria (see: Gray, Schuyler 1901: 197-8) identified by Eggermont (1986) with Piyadassi (Priyadarśin). It is similar to the case study presented by White in a relationship between French colonizers and the American Indian tribes of the Algonquians, who tried to compose Europeans into their own worldview and treated the French as *manitou*, “an other-than-human person, a spiritual being capable of taking manifold physical forms.” (White 1991: 25) Because they provided iron, the Indians hunted the beavers to trade with them. But Europeans realized that they cannot satisfy all needs of the Indians, so they tried to turn Indians to worship Christ and not them. The result of that was startling. The Indians started worshipping Christ, but as a *manitou*: “[...] heads of animals once offered to the manitous at feasts were now offered to Christ. Public offerings went to the cross and to the Christian God, the “Great Manitou.” Indians were not so much being converted to Christianity as Christ was being converted into a manitou.” (White 1991: 26) This example shows perfectly that

Indians were not acculturated at all, but instead that Christianity was accommodated to their needs and beliefs. If we accept the theory of Eggermont, that Dorsanes is Piyadassi, then a similar accommodation could have occurred here. Namely that the Greeks accommodated the Indian ruler to their personal beliefs. Conclusions from such assumptions can be far-reaching and point to the superstitious and backward nature of Greek beliefs in relation to the sublime philosophy of king Piyadassi, but I will refrain myself from such statements, because that is not the purpose of this essay.

### Conclusion:

In this essay, I have tried to show how we can understand intercultural (or transcultural) relations between the Greeks and the Mauryan Empire in the context of contemporary anthropological research and in relation to examples presented by researchers studying similar phenomena in the modern world, parallels that serve to make ancient relations easier to understand and more tangible. I have shown how the socio-economic changes that occurred in the Mauryan Empire influenced Piyadassi to support the policy of *dhamma* in the quite individualistic form presented above; and on the other hand the way in which this policy could have appealed to the Greek inhabitants of the Mauryan Empire. I wanted to show that Piyadassi adopted this policy as his strategy against the supremacy of the Brahmins, while the Greeks used it as their tactic to achieve certain goals in Indian society. They both supported the same idea, but for different reasons. They created a kind of middle ground, a place of temporary agreement between the two different cultures. If those relations lasted longer, probably Indian society would have looked completely different today. But the empire of the Mauryas soon ceased to exist and quickly a Brahmin dynasty of Śungas established again a social order based on Brahmin values, which turned out to be much more stable... one could say that to this day it has not been superseded.

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## HONOURS AND PRIVILEGES IN DELPHIC ABBREVIATED DECREES

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### Abstract:

The article is devoted to honours and privileges in Delphic abbreviated decrees. The aim of this article is to analyze the honours and privileges that were granted in Delphic abbreviated decrees during the Hellenistic and Roman periods. The main purpose and intention toward which the efforts were directed was to analyze the meaning of the individual honours and privileges, as well as to present the status and origin of the honoured persons.

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**Key Words:** Delphi, Delphic polis, honours and privileges, abbreviated decrees

The Delphic polis was relatively small Greek city-state and had low number of citizens, however its fame equaled that of Athens, Sparta or Thebes. The fame of Delphi is primarily attributed to the Oracle of Apollo, the polis' patron. The Sanctuary of Apollo was one of the most important sacred site in the Greek world. Many scholars have already written about the Oracle and the Sanctuary – e.g. E. Bourguet<sup>317</sup>, T. Dempsey<sup>318</sup>, M. Delcourt<sup>319</sup>, H. W. Parke and D. E. W. Wormell<sup>320</sup>. However, not much attention had been paid to the city-state. Information regarding the organization, political events and system of polis, as well as the economic and administrative basis of Delphic society can be obtained through the examination of the decrees issued by the polis. Delphic decrees can be divided into two main categories: full and abbreviated decrees. Abbreviated decrees are a local phenomenon in certain areas of Central and Northern Greece, the Islands, parts of Asia Minor and Pontic colonies.<sup>321</sup> The phenomenon of Delphic decrees dating from the Hellenistic period up to the end of the 2nd century AD lies in the number of decrees which do not have a full set of formulae: these decrees number 834 in total. The total number of preserved abbreviated decrees is nearly three times the number of preserved full decrees; over 70% of all decrees at Delphi are abbreviated. This proportion is unusual and examples from other Greek *poleis*, where abbreviated decrees are attested, emphasize the uniqueness of Delphi. For instance, in Olbia, where 100 decrees were preserved<sup>322</sup>, the vast majority (83%) are full decrees. At Gonnoi, in Thessaly, 60% of all preserved decrees are full decrees and 40% abbreviated.<sup>323</sup> Only in Miletus, where 60% (109) of all preserved decrees are abbreviated, do we find a balance similar to what we have seen at Delphi.<sup>324</sup>

Such a vast amount of material provides an abundance of important information about the Delphic polis during the Hellenistic and Roman periods.

Delphic abbreviated decrees prove that in the Hellenistic and Roman periods, Delphi was an independent political entity. The existence of polis is expressed by the phrases: ἡ πόλις τῶν Δελφῶν ἔδωκε (*polis of the Delphians has granted*)<sup>325</sup> and Δελφοὶ ἔδωκαν (*Delphians have granted*)<sup>326</sup>. Delphi governed its own laws, this is attested by the sentence κατὰ τὸν νόμον (*according to law*)<sup>327</sup>.

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<sup>317</sup> Bourguet 1905.

<sup>318</sup> Dempsey 1918.

<sup>319</sup> Delcourt 1955.

<sup>320</sup> Parke, Wormell 1956.

<sup>321</sup> Larfeld 1914, 329-33; Nawotka 1999, 69.

<sup>322</sup> Nawotka 1999, 74-79; 211.

<sup>323</sup> Gonnoi II; Rhodes 1997, 169-170.

<sup>324</sup> Nawotka, 2<sup>nd</sup> edition of 1999.

<sup>325</sup> E.g. *FdD* 4.411 II; *SGDI* 2606, 2607.

<sup>326</sup> E.g. *FdD* 2.75, 3.92, 4.34; *SGDI* 2673.

<sup>327</sup> E.g. *FdD* 1.37.

The legislative infrastructure of Delphi consisted of a βουλή (*council*) which included its own magistrates – βουλευται (*councillors*)<sup>328</sup> and γραμματεὺς (*secretary*)<sup>329</sup>. Also, the existence of ἐκκλησία (*assembly*) is expressed by phrases: ἡ πόλις τῶν Δελφῶν (*polis of the Delphians*) and οἱ Δελφοὶ (*Delphians*)<sup>330</sup>. However, there is no information about the activity or responsibilities of the council and assembly in abbreviated decrees.

The majority of the abbreviated decrees at Delphi award foreigners with honours and privileges. The aim of this article is to analyze the honours and privileges that were granted in Delphic abbreviated decrees during the Hellenistic and Roman periods. The main purpose and intention toward which the efforts were directed was to analyze the meaning of the individual honours and privileges, as well as to present the status and origin of the honoured persons.

### Honours and Privileges

The list of honours and privileges usually begin with *proxenia* (προξενία)<sup>331</sup>, this is mentioned in 55% of the abbreviated records<sup>332</sup>. M. B. Wallace loosely define a *proxenos* (person honoured with *proxenia*) as “one city’s official friend in another city”.<sup>333</sup> It is hard to find modern equivalent having similar or identical meaning to the ancient *proxenos*, this is due to the fact that there was no corresponding parallel in ancient Greek city-states as a Foreign Office. To initiate diplomatic contact with other city-states, poleis usually sent citizens who were granted with *proxenia* by the polis to which the embassy was sent.<sup>334</sup> *Proxenois* can be therefore compared with modern ambassadors, these people were always prominent citizens in their native city. Granting someone with *proxenia* was an official confirmation of friendly relations between the honoured person and awarding polis. *Proxenia* also gave honorands the protection and support of the state.<sup>335</sup>

*Proxenia* is usually accompanied by *promanteia* (προμαντεία) – which appears in 53,5% of Delphic abbreviated decrees. *Promanteia* is a right of consulting an oracle and a privilege of priority in the ceremonies.<sup>336</sup> This was desirable to many and was a valued privilege bestowed by Delphians to individuals<sup>337</sup> or to the whole citizens of particular poleis. There are 6 known examples of poleis<sup>338</sup> which were granted with *promanteia* during the Hellenistic period – Siphnos<sup>339</sup>, Chios<sup>340</sup>, Smyrna<sup>341</sup>, Korinthos<sup>342</sup>, Alexandria<sup>343</sup> and Naxos<sup>344</sup>. Poleis or individuals granted with *promanteia* had a right to consult an oracle before any other city-states or person, and immediately after Delphians.<sup>345</sup>

The privilege of the front seats at public games – *proedria* (προεδρία) – was bestowed as an honour on distinguished foreigners. The phrase προεδρίαν ἐν πᾶσι τοῖς ἀγῶνοις οἷς ἡ πόλις τίθητι (*proedria* in all festivals which are organized by polis)<sup>346</sup> indicate, that in Delphi *proedria* concerns only games which were organized by polis. It is known that the Delphic polis organized festivals called *Theoxenia*, *Charilla*, *Septerion* and *Herois*. Pythian games, which were also celebrated at Delphi in honour of Pythian Apollo, were excluded from this list on account of the fact that they were

<sup>328</sup> Rhodes 1997, 135.

<sup>329</sup> Daux 1936, 428.

<sup>330</sup> E.g. *FdD* 1.391.

<sup>331</sup> E.g. *FdD* 1.113, 1.355, 3.94, 4.141; *SGDI* 2593, 2608.

<sup>332</sup> In fully preserved, reconstructed and fragmentary abbreviated decrees.

<sup>333</sup> Wallace 1970, 189.

<sup>334</sup> Perlman 1958, 187; Walbank 1978, 2.

<sup>335</sup> Perlman 1958, 186; 190.

<sup>336</sup> Sokolowski 1954, 165-169.

<sup>337</sup> E.g. *FdD* 1.193, 2.82; 3.93, 3.104, 4.154; *SGDI* 2649.

<sup>338</sup> Names of poleis are followed by: Hansen, Nieleisen 2004.

<sup>339</sup> *FdD* 1.197.

<sup>340</sup> *FdD* 3.213.

<sup>341</sup> *FdD* 4.155.

<sup>342</sup> *FdD* 4.389.

<sup>343</sup> *SGDI* 2592.

<sup>344</sup> *SGDI* 2617.

<sup>345</sup> Sokolowski 1954, 170.

<sup>346</sup> E.g. *FdD* 4.170, 4.446.

organized not by the polis, but by the Amphictyonic League.<sup>347</sup> *Proedria* appears in 45% of Delphic abbreviated decrees.

***Prodikia*** (προδικία) (which is usually expressed in the form προδικίαν ποτὶ Δελφοῦς – *prodikia before Delphians*<sup>348</sup>) is almost as common in Delphic abbreviated decrees, as *proedria*. *Prodikia* was a priority of trial, an established right to precedence in Delphic courts.<sup>349</sup>

***Asyilia*** (ἀσυλία) which was another privilege bestowed by the polis, has a different meaning than *asyilia-immunity*<sup>350</sup> granted by a sanctuary or other sacred place. *Asyilia* has nothing to do with religion, cult or with security from reprisal.<sup>351</sup> *Asyilia* attested in Delphic abbreviated decrees, guaranteed the honorand not only safety and security in times of war and peace (ἀσυλίαν καὶ πολέμου καὶ εἰρήνης)<sup>352</sup>, but also had a purely juridical consequence: access to the court and the right to seek redress in the grantor's courts<sup>353</sup>.

A similar privilege to *asyilia* – ***asphaleia*** (ἀσφάλεια) (assurance from danger, personal safety) is mentioned in only 1 fully preserved<sup>354</sup> and in 4 reconstructed<sup>355</sup> abbreviated decrees.

Together with *asyilia*, Delphi often granted ***ateleia*** (ἀτέλεια) – privilege guaranteeing exemption from public burdens. Although *ateleia* appears in almost 49% of Delphic abbreviated decrees, it is impossible to determine which particular kind of tax-exemption is being granted, which is a result of lack of context.

The list of the most often granted honours in Delphic abbreviated decrees also includes ***euergesia*** (εὐεργεσία), an award of receiving a title of the benefactor of the Delphic polis<sup>356</sup>.

Abbreviated decrees of Delphi much less infrequently certify the awarding of foreigners with ***thearodokia*** (θεαροδοκία) (only 7%) – *thearodokia* made its recipient a *thearodokos* – a functionary of a Sanctuary. This privilege indicates, that Delphic polis had an impact on the election of the functionaries of the Sanctuary. The rarity in granting *thearodokia* is a consequence of the uniqueness of this office – Sanctuary could not have too much *thearodokoi*.

***Enktesis*** (ἐγκτησις) appears in 30 Delphic abbreviated decrees (this is sometimes referred to as *empasis*), *enktesis* was the right of *tenure of land in a country or district* by a person not belonging to it. *Enktesis* may give the legal right to the recipient to acquire either a land alone (γῆς ἐγκτησιν)<sup>357</sup>, or a land and a house (γᾶς καὶ οἰκίας ἔμπασιν)<sup>358</sup>.

Only one Delphic abbreviated record<sup>359</sup> certifies the granting of ***pronomia*** (προνομία), the right to pasturage. The list of honours and privileges complements ***epitimia*** (ἐπιτιμία), an enjoyment of all civil rights and privileges.

The granting of ***politeia*** (πολιτεία – citizenship) was a unique privilege amongst Delphic grants of honours and privileges. Naturalization was the most valued privilege<sup>360</sup>, and that is why there are only 107 abbreviated decrees that attest the granting of citizenship to an individual (or individuals). A number of these decrees provide the reasons for the grants: διὰ τε καλοκαγαθίαν καὶ ἦν ἔχει περὶ τοὺς θεοὺς εὐσεβείαν (*for nobleness and for reverence towards the gods*)<sup>361</sup>, διὰ τὴν εὐτονίαν τοῦ ἔργου καὶ σεμνότητα τοῦ τρόπου (*for commitment to work and solemnity of*

<sup>347</sup> Musielak 1989, 70.

<sup>348</sup> E.g. *FdD* 4.419; *SEG* 1.199, 31.534.

<sup>349</sup> Musielak 1989, 72.

<sup>350</sup> Gluskina 1977, 82-94.

<sup>351</sup> Rigsby 1996, 19.

<sup>352</sup> E.g. *FdD* 4.377, 4.382.

<sup>353</sup> Rigsby 1996, 32.

<sup>354</sup> *SGDI* 2691.

<sup>355</sup> *FdD* 1.396, 2.71; *SEG* 14.400, 39.467[9].

<sup>356</sup> Gauthier 1985, 22-24.

<sup>357</sup> *FdD* 1.424.

<sup>358</sup> E.g. *FdD* 3.198; *SGDI* 2608; see: Henry 1983, 205-210.

<sup>359</sup> *FdD* 4.84.

<sup>360</sup> Habicht 2002, 16; Walbank 1978, 7.

<sup>361</sup> *FdD* 1.215.

*manners*)<sup>362</sup>, ἐπιδὴ καλῶς καὶ εὐσεβῶς πρὸς τε τὸν θεὸν καὶ ἡμᾶς ἀνέστραπται παρ' ὅλον τὸν βίον (*for goodness and piety towards the gods and us for all his life*)<sup>363</sup>.

**Bouleuteia** (βουλευτηρία) appears in only 39 abbreviated decrees, all of which date from the Roman period. Some scholars believe that in the time of Roman principate a title of *bouleutes* (councilor) became an honour and was awarded with *politeia* to foreigners<sup>364</sup>; this explains why *bouleuteia* is not attested in decrees before the Roman period.

A separate type of honour was the awarding of **statue(s)**, which were reserved for the most distinguished foreigners. A citizen of Tarsea has been granted with *politeia* and honoured with statue<sup>365</sup>. A bronze statue was also awarded to Athenian bouleutes<sup>366</sup>, and to a sophist whose origin is not known<sup>367</sup>.

To sum up, in Delphic abbreviated decrees, there are 15 attested honours and privileges. The most common are *proxenia*, *promanteia*, *proedria*, *prodikia ateleia* and *asylia*, mentioned in almost 50% of all abbreviated records. The most valuable were *politeia* and *proxenia*, and the most rewarding were statues. All honours and privileges were granted to honorand(s) and to his descendants or relatives. Surprisingly, all of the honorands are male, no female was granted in Delphic abbreviated decrees<sup>368</sup>.

### Origin of the honorands

Two factors allow for a thorough examination of the origin of honorands that were granted honours at Delphi, these being the vast numbers and the relatively good condition of the preserved abbreviated decrees. Citizens from all around the ancient world appear in the 834 abbreviated decrees from Delphi, which demonstrates and proves how well known and how meaningful the Delphic polis was. Honours and privileges granted by Delphians were esteemed and valuable, for this reason they were desired by many.

In Delphic abbreviated decrees, citizens are attested from both large and well-known cities as well as from smaller, less significant poleis, for example:

**Northern Greece:** Thrace<sup>369</sup>, Chalkidike (Olynthos)<sup>370</sup>, Makedonia (Aigeia, Pella)<sup>371</sup>.  
**Central Greece:** Boiotia (Thespiiai, Cheroneia)<sup>372</sup>, Lokris<sup>373</sup>, Aitolia<sup>374</sup>, Thessalia (Larisa)<sup>375</sup>, Phokis (Charadra)<sup>376</sup>, Akarnania<sup>377</sup>, Epirus (Nikopolis)<sup>378</sup>. Attika (Athanaï)<sup>379</sup>, Euboia<sup>380</sup>, Megaris (Korinthos, Megara)<sup>381</sup>.  
**Peloponnese:** Arkadia (Megalopolis, Stymphalos, Mantineia)<sup>382</sup>, Lakedaimon (Sparta)<sup>383</sup>, Achaia<sup>384</sup>, Messenia<sup>385</sup>, Argolis (Epidauros)<sup>386</sup>. Propontic Thrace (Byzantion)<sup>387</sup>, Ionia (Ephesos,

<sup>362</sup> *FdD* 1.216.

<sup>363</sup> *FdD* 2.99.

<sup>364</sup> Rhodes 1997, 135.

<sup>365</sup> *FdD* 1.238.

<sup>366</sup> *FdD* 2.105.

<sup>367</sup> *FdD* 3.244[2].

<sup>368</sup> Except two wives of the honorands: *FdD* 4.48, 4.62.

<sup>369</sup> *FdD* 1.392.

<sup>370</sup> *FdD* 1.105.

<sup>371</sup> *FdD* 1.112; *SGDI* 2759.

<sup>372</sup> *FdD* 1.96, 1.212.

<sup>373</sup> *FdD* 1.102.

<sup>374</sup> *FdD* 1.142.

<sup>375</sup> *FdD* 1.401.

<sup>376</sup> *SEG* 1.197.

<sup>377</sup> *SGDI* 2659.

<sup>378</sup> *FdD* 4.60.

<sup>379</sup> *FdD* 2.206, 2.210.

<sup>380</sup> *SGDI* 2603.

<sup>381</sup> *FdD* 1.178, 1.184, 1.191.

<sup>382</sup> *FdD* 1.12, 1.14, 1.20.

<sup>383</sup> *FdD* 2.160.

<sup>384</sup> *FdD* 3.231.

<sup>385</sup> *FdD* 4.4, 4.7.

<sup>386</sup> *FdD* 1.95.

<sup>387</sup> *FdD* 4.85.

Smyrna)<sup>388</sup>, Karia (Mylasa)<sup>389</sup>, Phrygia<sup>390</sup>, Pergamon<sup>391</sup>. **Islands:** Rhodos<sup>392</sup>, Kos<sup>393</sup>, Siphnos<sup>394</sup>, Crete<sup>395</sup>, Samos<sup>396</sup>, Lesbos<sup>397</sup>, Cyprus<sup>398</sup>. Egypt (Naukratis)<sup>399</sup>, Libya (Ptolemais, Kyrene)<sup>400</sup>, Sykelia (Gela, Syrakuse)<sup>401</sup>. Rome<sup>402</sup>.

### Status of honorands

In 44 Delphic abbreviated decrees, 35 names/titles of professions or functions of the honorands appear. Most of these decrees (33) date from the Roman period, only 5 come from Hellenistic times, and 6 cannot be dated. The following representatives of social groups can be identified according to the following criteria: professional, intellectual, and temporal.

The most represented group includes artists of various kinds:

- *zographos* (ζωγράφος) – painter who paints from life or from nature<sup>403</sup>
- *plastēs* (πλάστης) – sculptor, moulder, modeller<sup>404</sup>
- *hypokritēs* (ὑποκριτής) - actor<sup>405</sup>
- *poiētēs* (ποιητής) – composer, author of a poem<sup>406</sup>
- *poiētēs epon* (ποιητής ἐπῶν) - composer of an epic poetry<sup>407</sup>
- *choraulēs* (χοραύλης) - one who accompanies a chorus on the flute<sup>408</sup>
- *tragōdos* (τραγῳδός) - member of the tragic chorus or performer (actor and singer) of tragedy, or tragic poet<sup>409</sup>
- *kitharōdos* (κιθαρωδός) - one who plays and sings to the cithara<sup>410</sup>
- *orchestēs* and *thaumatopoiōs* (ὄρχηστής and θαυματοποιός) - dancer and acrobat or juggler<sup>411</sup>
- *paradoxos* (παράδοξος) – a distinguished musicians or athletes<sup>412</sup>.

Magistrates and functionaries are represented by:

- *grammatikōs* (γραμματικός) - teacher of the rudiments; one who occupies himself with literary texts, grammarian, critic<sup>413</sup>
- *archigrammateus xystou* (ἀρχιγραμματεὺς ξυστοῦ) - chief clerk of a gymnasium at Elis<sup>414</sup>
- *neaniskarchēs* (νεανισκάρχης) - official in charge of ἔφηβοι (*young boys*)<sup>415</sup>

<sup>388</sup> *FdD* 1.54, 1.220.

<sup>389</sup> *FdD* 1.120.

<sup>390</sup> *SGDI* 2598.

<sup>391</sup> *FdD* 1.231.

<sup>392</sup> *FdD* 1.98, 1.99.

<sup>393</sup> *FdD* 1.127.

<sup>394</sup> *FdD* 1.197.

<sup>395</sup> *FdD* 1.412.

<sup>396</sup> *FdD* 4.139.

<sup>397</sup> *FdD* 4.395.

<sup>398</sup> *FdD* 4.396.

<sup>399</sup> *FdD* 1.114.

<sup>400</sup> *FdD* 2.111, 3.163.

<sup>401</sup> *FdD* 1.125, 4.401.

<sup>402</sup> *FdD* 1.231.

<sup>403</sup> *FdD* 1.224; *LSJ* s.v. ζωγράφος.

<sup>404</sup> *FdD* 2.118; *LSJ* s.v. πλάστης.

<sup>405</sup> *FdD* 2.105, 4.177, 4.86; *LSJ* s.v. ὑποκριτής.

<sup>406</sup> *FdD* 4.111; *LSJ* s.v. ποιητής.

<sup>407</sup> *FdD* 2.158, 4.116.

<sup>408</sup> *FdD* 2.250; *LSJ* s.v. χοραύλης.

<sup>409</sup> *FdD* 2.101; *LSJ* s.v. τραγῳδός – this word has 3 meanings, it is impossible to determine which one is correct in this case because of lack of context.

<sup>410</sup> *FdD* 4.34, 4.113; *LSJ* s.v. κιθαρωδός.

<sup>411</sup> *FdD* 1.469; *LSJ* s.v. ὄρχηστής and θαυματοποιός.

<sup>412</sup> *FdD* 1.214; *LSJ* s.v. παράδοξος.

<sup>413</sup> *FdD* 2.115; *LSJ* s.v. γραμματικός – on the assumption, that the teacher is an official.

<sup>414</sup> *FdD* 1.209; *LSJ* s.v. ξυστός.

<sup>415</sup> *FdD* 1.238; *LSJ* s.v. νεανισκάρχης.

- *epimeletes* of the Amphictiony (ἐπιμελητής) - curator<sup>416</sup>
- *epitropos* (ἐπίτροπος) - governor<sup>417</sup>: of Boiotia<sup>418</sup> and Achaia<sup>419</sup>
- *Asiarches* (Ἀσιάρχης) - an Asiarch, priest of the Imperial cult in the province of Asia<sup>420</sup>. Very important function; an asiarch was a high priest appointed for a term of one year, his function was political – he was a president of the provincial assembly<sup>421</sup>.

#### King:

- *basileus* (βασιλεύς) - king<sup>422</sup>. Very unique example – in 255/4 BC Delphians honoured Areus the king (II king of Sparta), son of the king Acrotatus (II) and queen Chilonis.

Delphic abbreviated decrees also mention 5 religious officials or officials having some association with religion or cult:

- *hieromnamon* (ιερομνάμων) - magistrate who had charge of temples or religious matters<sup>423</sup>
- *hierokeryx* (ιεροκῆρυξ) - herald or attendant at a sacrifice<sup>424</sup>
- *theopropos* (θεοπρόπος) - public messenger sent to inquire of an oracle<sup>425</sup>
- *exegetes Pythochrestos* (ἐξηγητής Πυθόχρηστος) - expounder, interpreter especially of oracles, dreams, or omens<sup>426</sup>
- *daduchos* (δαδοῦχος) - the holder of a hereditary office at the mysteries of the Eleusinian<sup>427</sup>.

#### Names of professions:

- *hiatros* (ιατρός) – doctor, one who heals<sup>428</sup>
- *oinopoios* (οἰνοποιός) – wine maker<sup>429</sup>
- *physikos episteme* (φυσικός ἐπιστήμη) – professional physicist<sup>430</sup>
- *architekton* (ἀρχιτέκτων) – architect<sup>431</sup>

In 1 abbreviated decrees appear also a trainer of professional athletes – *gymnastes* (γυμναστής)<sup>432</sup>.

There is a very interesting decree dated from the beginning of the 2<sup>nd</sup> century AD. Regrettably, this inscription is poorly preserved and some important parts are damaged. We can only assume its content based on a reconstruction of the text. Inscription honours Asinius Rhoupfos – Roman [?] *strategos*, who's military carrier was mentioned in a decree. Presumably he was also an *epitropos* of Achaia – governor of Achaia, *chiliarchos speires* – a tribune of the cohort, *eparchos* [?] *praetoriou* – prefect of the praetorians, and *eparchos speires* – prefect of the cohort.

Other abbreviated decrees from the Roman period mention 9 people, who can be classified as intellectuals:

- *philosophos* (φιλόσοφος) - philosopher<sup>433</sup>
- *sophistes* (σοφιστής) – sophist<sup>434</sup>
- *rhetor* (ρήτωρ) - rhetor<sup>435</sup>.

<sup>416</sup> *FdD* 4.62; *LSJ* s.v. ἐπιμελητής.

<sup>417</sup> *LSJ* s.v. ἐπίτροπος.

<sup>418</sup> *FdD* 4.445.

<sup>419</sup> *FdD* 4.48.

<sup>420</sup> *FdD* 1.213; *LSJ* s.v. Ἀσιάρχης.

<sup>421</sup> McLean 2002, 337.

<sup>422</sup> *FdD* 4.418.

<sup>423</sup> *FdD* 1. 195; *LSJ* s.v. ιερομνάμων.

<sup>424</sup> *FdD* 1.212, SGDI 2596; *LSJ* s.v. ιεροκῆρυξ.

<sup>425</sup> *FdD* 1.215; *LSJ* s.v. θεοπρόπος.

<sup>426</sup> *FdD* 2.114; *LSJ* s.v. ἐξηγητής Πυθόχρηστος.

<sup>427</sup> *FdD* 4.96; *LSJ* s.v. δαδοῦχος.

<sup>428</sup> *FdD* 2.117, 3.298, 4.25, 4.87; *LSJ* s.v. ιατρός.

<sup>429</sup> *FdD* 2.210; *LSJ* s.v. οἰνοποιός.

<sup>430</sup> *FdD* 4.83; *LSJ* s.v. ἐπιστήμη.

<sup>431</sup> *FdD* 4.96, *LSJ* s.v. ἀρχιτέκτων.

<sup>432</sup> *FdD* 1.220; *LSJ* s.v. γυμναστής.

<sup>433</sup> *FdD* 1. 199, 2.116, 4.91, 4.94, 4.103, 4.107, 4.113.

<sup>434</sup> *FdD* 3.244.

All mentioned honorands belong to broadly understood elites of the ancient world. The most prominent of the recipients of Delphic honours and privileges were the king Areus II, who was honoured with *proxenia*, *promanteia*, *proedria*, *prodikia*, *asylia* and *euergesia*, the Asiarch granted with citizenship, and Asinius Rhoupfos – Roman [?] *strategos*, awarded with *politeia*, *promanteia*, *proedria*, *prodikia* and *enktesis*. The most valuable honours (statues) were received by M(arcos) A(urelios) Tarsos *neaniskarches*, Athenian *bouleutes* and actor, and Aurelios Phil[...] Byblios, sophist.

Most of the Delphic abbreviated decrees were inscribed on buildings, not on free-standing stelae; either on the bases of the monuments (e.g. the base of the Monument of the Arcadians<sup>436</sup>) or on the monuments themselves (e.g. the Monuments of the Messenians<sup>437</sup>) or alternatively on the walls of the treasuries (e.g. The Siphnian Treasury<sup>438</sup>, The Athenians Treasury<sup>439</sup>). The largest number of honorands come from poleis which founded monument, treasury or statue in Delphi – citizens of these poleis are mentioned in abbreviated decrees carved on the buildings.

Delphic abbreviated decrees provide a great deal of information about the Delphic polis, its magistrates, government, and the practice of granting honours and privileges. Despite of the lack of broader context regarding the procedure of awarding honours and privileges and the meaning of particular honours (e.g. *ateleia*), based on abbreviated decrees it is possible to state how relevant Delphic polis was in Hellenistic and Roman periods. Delphians honoured citizens from around almost all the ancient world. Honours and privileges granted by Delphic polis were desirable and valuable – especially *proxenia* and *promanteia*. The small number of grants of citizenship in itself proves the perceived importance of the honour and the polis.

Further investigation into both full and abbreviated decrees beyond Delphi is needed. Full decrees will give the answer to the questions, which abbreviated decrees do not. However, abbreviated decrees should not be treated as a second-rate category of Greek decrees because they are not of the highest quality; they are more than mere abbreviated form of full decrees. Abbreviated decrees at Delphi provide essential information and deserve the attention of scholars.

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<sup>436</sup> 35 Abbreviated decree inscribed.

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# PROTECTION OF HUMAN RIGHTS AND INTERNATIONAL COOPERATION DEVELOPMENT

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## **Abstract:**

The development process and the trajectory of the economies of developing countries, in relation to the implementation of International Cooperation Development (ICD), demonstrate that economic growth alone cannot sustain the development of a country, without denying that this is a necessary condition for achieving development. The reality of the 1970s, characterised by growing poverty in developing countries, together with an intensification of inequalities, forced the international community (donors and recipients) to recognize the failures in the planning and implementation of ICD and to change their strategies.

**Key Words:** International Cooperation Development, human rights, receptors countries, developing countries

## **1. Economic growth as a panacea to overcome underdevelopment**

### **1.1. The market as a solution**

Since the advent of the countries born of decolonisation up to the mid-1970s, the precepts and remedies put on the table to overcome underdevelopment revolved principally around the transfer of capital, technology and experience from the Developed to the Developing countries<sup>440</sup>. However by the mid-1970s, faced with a growing situation of poverty and social inequality threatening social cohesion in the developing world, the paradigm of economic growth and the mere accumulation of wealth were put into question<sup>441</sup>.

In this way, the “*trickledown*” theory, consisting of the acceptance of the idea that economic growth would involve the reduction of “pockets of poverty” through a “permeation effect” following a mass transfer operation of capital and expertise for the benefit of poor countries, made way for a different approach, aimed at meeting basic needs<sup>442</sup>. From this time a “paternalist vision” of international aid emerged, which concentrated on covering the most urgent needs, such as food and housing<sup>443</sup>. In light of these facts, and despite the lack of economic growth, the neoliberal vision continued, albeit with a different focus.

This time the Market became the new element on which the hope of ending underdevelopment came to rest. By the end of the 1970s, ICD began to revolve around the ideal of the Market, determining the allocation of available resources, through the interplay of supply and demand. The superiority of the Market, predicated by neoliberalism, means –simultaneously- the supremacy of the private sector over the actions of national governments, who are reduced to play the role of (neutral) arbitrator.

According to the neoliberals, economic freedom, that is to say freedom of the owners of the means of production, is equivalent to outright political freedom. Neoliberal thinking that has prevailed

<sup>440</sup> As noted by, P. BUSTELO, “La nueva arquitectura de las finanzas internacionales”, *Cuadernos de la Escuela Diplomática*, 2005, nº 26.

<sup>441</sup> Please see, O. WADE, “The world bank and the environment”, M. Boas/ D. McNeill, *Global institutions and development: framing the world*, Routledge, London, 2004.

<sup>442</sup> As seen in, S. AMIN, *El capitalismo en la era de la globalización*, Paidós, Barcelona, 1998.

<sup>443</sup> Please refer to, P.R. MULDOON, “The international law of eco-development: emerging norm for development assistance agencies”, *Texas international Law Journal*, 1987, vol. 22, nº 1.

since the mid-1970s encompasses not only the economic, but also the broader political, social and cultural scope, emerging as an integral vision of society. Liberalism enjoys an interpenetration of almost all social activities and holds a strong claim to become the only valid path for society in our times to follow.

## **1.2. The appearance of the International Monetary Fund and the World Bank: the Structural Adjustment Program**

This direction took hold at the beginning of the 1980s with the onset of the external debt crisis, affecting the majority of the least developed countries<sup>444</sup>. Said crisis did not change the neoliberal perspective born a decade earlier, although it did lead to a greater involvement of the Bretton Woods Institutions, in particular the IMF. Curiously at this time, which coincided with Ronald Reagan and his extreme neoliberal doctrines coming to office in the USA, these institutions converted to neoliberalism almost immediately, summed up in a simple, universal program which became known as the Structural Adjustment Program (SAP)<sup>445</sup>.

The program was initially put into place, under the conditions imposed by the IMF, in Third World countries in Africa and Latin America. The external debt crisis resulting from economic growth policies started in the early 1970s, stemming from remedies proposed by specialists from developed countries, can be assessed in a very particular manner from the neoliberal standpoint. If the theoretical tools of neoliberalism are applied here, three main reasons for the debt crisis stand out: firstly, the crisis is the result of the application of erroneous economic policies in developing countries. These misguided policies altered the free play of market forces and caused distortions in prices, leading to an inefficient allocation of resources.

Secondly, developing countries have always seemed to have an irrational fear of opening themselves up to world trade and to the presence of international capital. Finally, neoliberal policies stand out as a global paradigm, that is to say they are generally valid for all countries, both developed and developing, and economic agents are guided simply by incentives.

## **1.3. The opening of the economies of poor countries: the era of globalization**

In accordance with this assessment, SAPs, as a condition imposed by the International Monetary Fund (IMF) and the World Bank (WB) for the renegotiation of external debt, have demanded the implementation of liberalization policies (internal and external). We find ourselves therefore before a new orientation of economies towards the Market, in this case, a Market with no national borders. The new motto lies in providing a favourable environment for attracting foreign investment, in other words, in promoting a greater role for the private sector, at national and international level<sup>446</sup>. The numerous criticisms of SAPs, especially those made by the International People's Tribunal in its judgment to the G-7, contained in the judgment of Tokyo, 1993, highlight the disastrous results of such programs<sup>447</sup>.

Among other consequences of the application of SAPs, it is worth noting: a sharp increase in unemployment, a decline in wage compensation, a serious deterioration in the environment, a sharp decline in the production capacity of many countries, increased food dependency and deterioration of health care systems and, paradoxically, an astronomical increase of external debt. In short, the consequences of SAPs can be described as mediocre in economic terms, disastrous in social terms, whilst being successful in ideological terms.

<sup>444</sup> For a detailed explanation, please see, C. BERZOSA, "El Fondo Monetario Internacional y el Banco Mundial en la economía internacional", M. Farré/ R. Alleguez (ed.), *Globalización y dependencia. Efectos de la mundialización sobre el desarrollo de los pueblos*, Universidad de Lleida, Lleida, 2001; J. ROSELL, "Obstáculos al desarrollo de los Países menos Avanzados. La inserción en el comercio internacional desde el "desarrollo hacia dentro" a Seattle", M. Farré/R. Alleguez (ed.), *Globalización y dependencia...*, op. cit.

<sup>445</sup> Please see, S. AMIN, *El capitalismo en la era de la globalización*, Paidós, Barcelona, 1998.

<sup>446</sup> Referred to in, BANCO MUNDIAL, *Private capital flows return to a few developing countries as aid flows to poorest rise only slightly*, press release, 2004, no. 2004/284/S.

<sup>447</sup> International People's Tribunal judgment to the G-7 on debt Tribunal Internacional de los pueblos sobre la deuda [http://translate.google.es/translate?hl=es&langpair=en%7Ces&u=http://www.s-j-c.net/main/english/index.php%3Foption%3Dcom\\_content%26task%3Dview%26id%3D75%26Itemid%3D30](http://translate.google.es/translate?hl=es&langpair=en%7Ces&u=http://www.s-j-c.net/main/english/index.php%3Foption%3Dcom_content%26task%3Dview%26id%3D75%26Itemid%3D30) (consultado el 27-07-2012).

On the other hand, from the beginning to the end of the 1980s, peace and Human Rights enjoyed an ideological approach. In the Eastern Block, due to the Truman doctrine, peace, liberty and capitalism made an inseparable trio, whilst in the Soviet orbit Human Rights consisted basically of the satisfaction of human needs through a planned economy.

## **2. A brief historical introduction to economic, social and cultural rights.**

### **2.1. First and Second generation Human Rights**

Human Rights were born from a confluence of different schools of thought and historical experiences and, along these lines, have undergone continuous evolution<sup>448</sup>. The idea of Human Rights as we understand it today stems from the political philosophy of Enlightenment in Europe and North America at the end of the eighteenth century. Among other works from this period it is worth noting those of Hobbes, Locke, Rousseau and Kant, which stand out due to their scope and their contribution to the development of Human Rights. They postulate the realization of freedom of the individual from the State<sup>449</sup>. The revolutions in France and in America led to the birth of the first generation of Human Rights; the classic civil and political rights, subjective of the individual over the State.

Among these are: the right to life, prohibition of torture, the principle of equality, prohibition of discrimination, the right to freedom of opinion, and the right to active and passive suffrage. During the Industrial Revolution it became commonplace that the newly strengthened Bourgeoisie impose their civil and political rights in the social and economic spheres, at the expense of the poorer members of society (Barthel, Armin). Although the principle of equality existed in theory, in practice education and wealth were distributed unevenly. In fact, poverty was (and still is) a factor which led to exclusion from the enjoyment of civil and political rights. The idea that freedom can only be enjoyed if the basic conditions to ensure a decent existence for all members of society are guaranteed became widespread<sup>450</sup>.

Social rights in particular were demanded by the Marx theory, rights which obliged national governments to adopt social and economic measures, guaranteeing a *minimum* in social security. The birth of Economic, Social and Cultural Rights made up the second notable phase in the formation of Human Rights<sup>451</sup>. These second generation human rights, unlike the first, are not rights of defence but of participation. They are not rights which protect the individual from their national government; rather they require active intervention, given that their realization depends on government initiative. For this reason ESC Rights are also known as “participation rights”<sup>452</sup>. They include: the right to work, to education, to join a trade union, the right to social security, and the right to participate in the cultural life of society.

The first and second generation of Human Rights enjoy a complementary relationship, given that an adequate framework is required which meets certain economic and social conditions as an indispensable prerequisite for the realization or achievement of Civil and Political Rights. In this way, without the social right to education or training, or at least to literacy, the right to freedom of opinion or information does not hold any effect or importance. For this reason, the strict line separating so-called civil and social rights which existed during the Cold War seems to have disappeared by the 21st Century. Instead the emphasis is placed on the correlation between the two fields of human rights: “*all human rights are universal, indivisible, interdependent and interrelated. The international community must treat human rights globally in a fair and equal manner, on the same footing, and with the same emphasis*”<sup>453</sup>.

<sup>448</sup> Please refer to, G. DIETZE, *Bedeutungswandel der Menschenrechte*, C.F. Müller, Karlsruhe, 1972.

<sup>449</sup> For more details, see, Jerome J. SESHTACK, “The philosophical foundations of Human Rights” in *Human Rights: Concepts and Standards*, Janusz Symonides, Ashgate, 2000.

<sup>450</sup> Please see, R. ARZINGER, *Das Recht auf Entwicklung als kollektives Menschenrecht*, Peter Lang GmbH, Graz, 2000.

<sup>451</sup> Please refer to, A. PÉREZ LUÑO, “La concepción generacional de los derechos humanos” in, *Los nuevos derechos fundamentales*, XXV Aniversario del Tribunal Constitucional, Celebrado en Baeza, 13-14 de octubre de 2005, Sevilla: Academia de Ciencias Sociales y del Medioambiente de Andalucía.

<sup>452</sup> For more details, J. MARITAIN, *On the philosophy of human rights*, Unesco Library, Paris, 1985.

<sup>453</sup> Please see, UN-Weltkonferenz über Menschenrechte (1993), UN-Doc. A/CONF.157/23, Vienna: Vienna Declaration and Programme of Action.

A first step to this end was the adoption of the two Covenants of 1966, developed within the UN. Through these two Covenants, each Block was allowed their own interpretation or vision of the world. In the first, the political and civil liberties, which are part of the basic idea of human rights, were captured, and in the second, economic, social and cultural rights, of interest to the countries of the Communist orbit and many other Third World countries, were configured<sup>454</sup>. CP Rights and ESC Rights make up the basis of the “Human Rights System”<sup>455</sup>.

On the other hand, straight after the Second World War, the “decolonisation process” was launched, concluding around the 1960s with the independence of various countries. The rise of political weight, due to the significant increase in the number of developing countries, led to the introduction of the issue of “economic development” in policy discussions in the United Nations framework. Particularly the countries who, on gaining independence, found themselves in a situation of economic dependence on their former colonial countries, pressed for measures to be adopted to overcome the gap between rich and poor, in order to achieve a fairer world<sup>456</sup>.

## **2.2. The characteristics of Economic, Social and Cultural Rights**

Economic, social and cultural rights (ESC Rights), just like Human Rights in general, have a series of grounds and characteristics. They are characteristically innate, that is to say they are not acquired or earned, nor are they deserved and they cannot be lost, rather they are rights belonging to mankind for the simple fact of forming part of mankind. In regard to their relationship with national governments, Human Rights, and specifically ESC Rights, precede the existence and legitimacy of government.

These rights and their protection require the existence of a democratic State. An essential condition of Human Rights (ESC Rights) is that they are centred upon the protection of the individual and their interests. Human Rights – in every guise – are only HUMAN rights if they are egalitarian<sup>457</sup>. Otherwise they become individual rights. Every human being is entitled to Human Rights (ESC Rights), without distinction of any kind, such as race, colour, sex, language, religion, political or other opinion (art. 2 of the UDHR).

ESC Rights (just as Human Rights) are universal; that is to say they belong to all parts of the planet, without consideration for political systems, cultures and traditions, or the level of development enjoyed by any country of the world. They can also be characterized by the fact that they are fundamental. The fundamental character of ESC Rights refers not only to their recognition within the laws of every nation, but also to their protection of the conservation or maintenance of human dignity. Hence ESC Rights are interdependent on the other categories of Human Rights. Human Rights in turn constitute an intrinsically linked group which means that if the right to education is violated, for example, the right to freedom of opinion inevitably becomes violated as well.

Finally it is worth noting that the basis of ESC Rights is multifaceted, extending from the idea of God as the source of the Rights (natural law), to other, more pragmatic justifications, such as the satisfaction of basic needs or the development of human potential. Nonetheless, the principle category around which any efforts to establish ESC Rights revolves is that of “human dignity”. Thus

<sup>454</sup> Please refer to, L. KÜHNHARDT, “Minderheitenrechte, Minderheitenschutz und der Nationalstaat im KSZE-Prozess”, *Aus Politik und Zeitgeschichte*, Wochenzeitung das Parlament, 1994.

<sup>455</sup> Please see, A. AUPRICH, *Das Recht auf Entwicklung als kollektives Menschenrecht*, Graz: Lang/Peter, Frankfurt, 2000.

<sup>456</sup> Specifically, 1964 sees, in the framework of the United Nations, the creation of UNCTAD, a forum for channelling specific claims from so-called third world countries and a permanent structure for information, study and negotiation. Later, 77 countries, members of the “non-aligned movement” (founded in Belgrade in 1961 by 25 countries) proposed in 1967 a common document, the “charter of Algiers”, as the starting point of the discussion held at the Conference of New Delhi in 1986. As indicated by the doctrine, this document vindicates economic decolonization, once political decolonization has been produced, namely through the free disposal of national resources, and insists on carrying out the proposals already approved at the First Conference of UNCTAD. For more details, C. BERZOSA, “El Fondo Monetario Internacional y el Banco Mundial en la economía internacional”, M. Farré/R. Alleguez (ed.), *Globalización y dependencia. Efectos de la mundialización sobre el desarrollo de los pueblos*, Universidad de Lleida, Lleida, 2001.

<sup>457</sup> For more details, W. JÄGER, “Menschenrechte- Historische Entwicklung”, *Arbeitshilfe für die politische Bildung*, 1988, Heft 4.

exists an obligation to regard human beings as different from all other living beings, and as such, they must always be considered to be subjects, never objects (things)<sup>458</sup>.

The International Covenant on ESC Rights adopted in 1966 states in its preamble that recognition of the inherent dignity and of the equal and inalienable rights of all members of the human family is the foundation of freedom, justice and peace in the world. In the same text the Rights are recognised as one way in which human beings can achieve freedom from fear and want; one of the conditions which goes against human dignity.

### **3. Is there convergence between international cooperation development and economic, social and cultural rights in the context of globalization?**

#### **3.1. International Cooperation Development and globalization**

The State continues to be the formal framework under which ICD unfolds and is simultaneously the holder of those obligations appointed by ESC Rights. In other words governments hold the obligation to respect ESC Rights and above all the responsibility for putting into place an adequate framework under which the inherent benefits of the Rights can be satisfied. ESC Rights and ICD enjoy an intrinsic relationship which has been shown in the declarations, covenants, conventions and treaties that have marked the evolution of Human Rights.

One of the purposes set out in the Charter of the United Nations is “*to achieve international co-operation in solving international problems of an economic, social, cultural, or humanitarian character...*”. In article 28 of the UDHR of 1948, which covers both CP Rights and ECP Rights, everyone is entitled to “*a social and international order in which the rights and freedoms set forth in this Declaration can be fully realized*”. For this reason during the Cold War development organizations dedicated their time exclusively to the fight against poverty and the satisfaction of the basic needs of Third World citizens.

Other important aspects of ESC Rights such as the right to human dignity or the right to work come into the United Nations Declaration of 1969 on Social Progress and Development. In the United Nations Declaration of 1986, article 6 emphasises social and cultural rights and calls for international cooperation to defend, respect and promote these rights. It is important to underline the work done by the United Nations Development Programme (UNDP) as an agency of the UN, dedicated to international cooperation in development matters. As is known, since the 1990s this agency has upheld a new development vision based not only on economic growth but also, and above all, on the individual.

This new perspective has led to the development of a line of work based on the recognition and promotion of ESC Rights. Social wellbeing and basic needs were central to the 1995 Copenhagen summit, which revealed that these objectives could only be reached through solidarity between people, generations and nations; in other words, through international cooperation. Above all and worthy of note is the UN Millennium Declaration of 2000. In this document the Member States determine to resort to “*international cooperation in solving international problems of an economic, social, cultural or humanitarian character*”<sup>459</sup>.

Both during and after the Cold War, upholding the intrinsic link between ICD and ESC Rights became a permanent priority for the international community. This (tense) link is clearly visible in the various statements of UN Conventions, Summits, covenants, treaties, etc. However, the new orientation of the pairing between ICD and ESC Rights which appears at the beginning of the nineties, that is, after the fall of the Berlin Wall and the dismantling of the Soviet empire, must be noted. The relationship between Human Rights and international cooperation, which previously existed only in theory, suddenly becomes, during the Cold War, a condition for the donor countries to uphold if there is to be a continuation of cooperation.

<sup>458</sup> Refer to, G. LOHMANN, “Menschenrechte zwischen Moral und Recht”, S. GOSEPATH/G. LOHMANN, *Philosophie der Menschenrechte*, Frankfurt/M, 1988.

<sup>459</sup> Please see, United Nations Millennium Declaration (Values and Principles 4).

In reality nonetheless, ESC Rights and ICD are two categories which follow their own separate paths, meeting occasionally on common ground, but also encountering numerous conflicts or collisions. The context in which the two categories are deployed is often the determining factor in the interaction that takes place between them. Since the end of the 1980s, and the fall of the Berlin Wall, humanity has entered an era of globalization. It is therefore appropriate to go on and address the issue of how ICD and ESC Rights operate in the context of globalization.

Nowadays we live in a globalized world, that is, there is an ever increasing interaction or interdependency between different fields; political, economic, cultural... at a global level. The reality of globalization lies, at present, with the interaction and mutual influence of realities, situations, actors and agents, which contribute to shaping a world where almost everything is interconnected<sup>460</sup>.

Inevitably, ICD cannot escape the phenomenon of globalization and its consequences. In so far as it belongs to the field of international relations, ICD is a patent manifestation of globalization. Among the most prominent manifestations of ICD from the perspective of globalization, economic aspects should be highlighted as the main tools at the disposal of markets and firms, as they tend to extend beyond national borders. Economic globalization, as a process of market expansion, depends on ICD as the propagation vector in all sectors of the economy of those countries requiring intervention.

Globalization, understood in this sense, is based on the neoliberal economic theory, and follows specific rules. It is indeed in this sense that we must interpret the many rules imposed on countries receiving international aid as a condition of their monitoring. Thus, international cooperation becomes an instrument to the introduction of neoliberal policies and is accompanied by a series of mandatory measures, among which is the opening of the markets of those countries requiring intervention to the companies of the Western world who wish to enter them. Simultaneously a series of reforms and the privatization of the most important sectors of the economy take place, with austerity as the norm and repayment of the debt the priority. In this way globalization is gradually imposed on poor countries through ICD.

### **3.2. *The disastrous consequences for the realization of Economic, Social and Cultural Rights***

In the context described above, a national government plays a merely arbitrary role, dealing with the regulation of the necessary legal and institutional aspects from a neutral perspective, sitting equidistant between the different players involved in the economic questions. In fact governments in this context tend to lose their previous, fundamental role, becoming merely administrators of community assets. The full scope of the economy lies with the market, and this market manages itself, assigning the available assets to the different players involved, whether the government itself, through tax collection; the citizens or the workers through their jobs; or those companies who are the main beneficiaries of this system.

However, the imposition of such practices in poor countries has several consequences, among which is an evident weakening of national governments with respect to the control normally exercised on their economies and, specifically, on those multinationals involved. At the same time, a greater dependence of the government and all its citizens abroad develops in the political, cultural and geostrategic spheres, alongside the economic sphere, already swallowed up by globalization. The social repercussions of such measures are disastrous, with rising unemployment and poverty among the middle classes. It also must be said that the countries receiving international aid have no choice in these matters, given that compliance with these requirements is a non-negotiable condition for the continuation of aid.

As far as the donor countries are concerned, being the main beneficiaries of the capitalist system from the outset, they must find new areas of capital allocation. Only in this way can they guarantee the survival of the system. From the perspective of liberalism as a doctrine, ICD constitutes one of the mechanisms in place to spread capitalism as an economic system. When examining the evolution of the social politics of the neoliberal State, and collaborations with international financial

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<sup>460</sup> Please refer to, B. MOLINA RUEDA/ F.A. MUÑOZ (eds), *Manual de Paz y Conflictos*, Universidad de Granada, Granada, 2004.

institutions, in the framework of conditionality relating to ICD, special attention must be paid to the conclusions of Congress (Washington) held in the late 1980s.

Once again the objective was economic growth. To reach this end in the fastest possible way, it was necessary to stabilize, liberalize and privatize the economy, without regards to the consequences of previous policies, and ignoring the social costs and negative effects which these reforms may have entailed.

On the other hand, the most important players in this system are the multilateral financial institutions, above all the IMF and the World Bank. The Development Assistance Committee (DAC), in the framework of the OECD (Organisation for Economic Co-operation and Development) serves as an office which generates ideas to be put into practice through ICD. It is important to point out that both the WB and the IMF are associated members of the DAC and are always present at any meetings which take place. These two institutions, alongside those agencies belonging to the OECD States, or donor countries, are responsible for the transmission of decisions made within the DAC. All institutions named above belong mainly to Western countries.

The only valid decisions in these institutions are those made by its members, each with the weight corresponding to the level of funding they offer. That which interests us here however is the origin of the measures imposed on poor countries by the multilateral financial institutions. Because of the way they are set up, these institutions are permanently under the control of a select group of well-known countries. These few countries, and/or their companies, are the direct and/or indirect beneficiaries of the measures put in place to ensure favourable conditions for the expansion of capital or economic globalization.

The control that certain governments or companies hold over these decision makers, in the context of globalization, is in flagrant contradiction with the very idea of globalization, given that the measures are imposed by one given competitor. So we find ourselves before an evident conflict of interests between the donor and receiver countries, like a game in which one of the teams is both player and referee, in that they both decide the rules of the game and impose them. The same team has the power to change the rules at any time, depending exclusively on their own interests.

In light of the current practices in the field of ICD, it can be said that ICD is an effective instrument of globalization. Through the multilateral financial institutions made up of Western countries grouped within the OECD, very questionable measures are imposed on poor countries. Such measures favour capitalist expansion, without considering the realization of Human Rights and, in particular, ESC Rights. The current wave of “total globalization” raises the question of whether it favours or promotes ESC Rights. The answer to this question is linked to another process, resulting from globalization, which consists in the creation of homogeneous spaces, surpassing national borders (multinationalisation and globalization of the world economy), and which erodes the geographical or territorial reality of a certain country or area of the world<sup>461</sup>.

### **3.3. Globalization and Economic, Social and Cultural Rights**

Globalization and Human Rights share a complex relationship despite not having the same origins, from the historical perspective of their founding. Human Rights first appear through the revolutions of the 18th century. These same revolutions see the imposition of liberal thought, where the capitalist system finds its place, which will later become a motor for economic globalization. It is impossible to find at present any field which does not allude to globalization, but what interests us here is the economic side of this phenomenon.

As shown above, globalization and Human Rights share the same space or field of action, if by globalization we understand, according to the Collins Concise English Dictionary, “*the process enabling financial and investment markets to operate internationally*” without regard for national borders, whilst Human Rights are universal in character (they belong to everybody), not territorial, and equally surpass national borders<sup>462</sup>.

<sup>461</sup> See P. BUSTELO, “La globalización económica: notas sobre sus fundamentos teóricos y su análisis empírico”, M. Farré/R. Alleguez, *Globalización y dependencia...*, op. cit.

<sup>462</sup> For more details, L. FERRAJOLI, *Derechos y garantías. La ley del más débil*, Trotta, Madrid, 1999.

Furthermore, the relationship between Human Rights and economic globalization is multifaceted. To be able to analyse this aspect it is necessary to examine how both operate with respect to individual national governments, and the consequences of such interaction. In the process of its expansion, economic globalization goes some way to disempower national governments, in that certain responsibilities or obligations assumed over time by these governments disappear or are weakened considerably. The consequences of economic globalization reduce the power of a government significantly, and weaken those institutions of which they are composed. Instead of state intervention, economic globalization calls for a complete economic deregulation of the economic sector.

The disappearance of government regulations frees up a space which allows for the adoption of a system which is –supposedly– regulated by the market. The elimination of government obligations, both as administrator and regulator of the economic system present within its borders, has multiple consequences, among which is the suppression of certain social or labour standards usually aimed at the weaker and most disadvantaged members of society<sup>463</sup>. As far as Human Rights, and in particular ESC Rights, are concerned, they tend to add to the obligations of a national government, these governments being the holders of those obligations which are responsible for the recognition of such rights.

In other words, a government has the basic obligation to respect these rights, avoiding any action that may hinder, impede or restrict their implementation. Other obligations incumbent on a government with respect to ESC Rights consist in guaranteeing the upholding of the rights and ensuring, through positive action, access to the rights for all citizens. With respect to government, therefore, globalization and Human Rights are being incorporated into the structure of a nation with opposing consequences. That is to say, within a nation, the two phenomenon develop a dialectic relationship.

Through Human Rights and in particular ESC Rights a framework is established which goes towards halting capitalist expansion, or at least towards the introduction of a mechanism which will contribute to softening the negative effects of such expansion. Globalization meanwhile is a factor which weakens ESC Rights, *in so far as it leads to a disruption of the traditional mechanisms put in place by governments to ensure the protection of the rights*. And, as an instrument of capitalism, globalization is a response to the restrictions imposed by the Welfare State in the general interest of the community and of the principles of equality and justice.

In a context where the capitalist system reigns, ESC Rights are a balancing figure between the capital and the workforce. Economic globalization, as understood by neoliberalism within the framework of ICD, constitutes a factor set to sway this balance. Globalization, along with ICD, occasionally depends on Human Rights for its expansion. Human Rights and in particular CP Rights have served the globalization debate due to certain of their characteristics, insofar as they are abstract and individual rights which rest on the notion of the individual as a selfish proprietor. Globalization in its current form is a selective phenomenon in that it globalizes capital while simultaneously “freezing” ESC Rights.

### **Conclusion:**

ICD is an instrument, employed by developed countries, to channel some kind of relationship with the developing countries based, principally, on the interests of the former, especially when dealing with the so-called “*second generation ICD*”, addressing above all those countries born after the decolonization process. The neoliberal proposals made by the decision makers working from within the rich countries and imposed on receiver countries have gone a long way to widening the gap between rich and poor, deepening poverty, inequalities etc. Simultaneously the Market has emerged as the only parameter available to regulate the economic and social spheres when dealing with the allocation of resources. In this way it has become the

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<sup>463</sup> Please see, P. MERCADO PACHECO, “El Estado comercial abierto. La forma de gobierno de una economía desterritorializada”, J.R. Ramón Capella (coord.), *Transformaciones del Derecho en la mundialización*, CGPJ, Madrid, 1999.

panacea to solving the problem of underdevelopment. For this reason the question of Human Rights and, in particular, the satisfaction of basic human needs, has no place in this context. The proposed system of production is set in place rather to establish conditions conducive to the free movement of capital and the dismantling of the structures, allowing for a more equitable distribution of community assets.

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## THE PR 2.0 USAGE AND UTILIZATION IN RESOURCE FINDING OF WOMAN AID ORIENTED NON PROFIT ORGANIZATIONS IN TURKEY

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### Abstract:

The subject of Public Relations 2.0 (PR 2.0) has emerged with the Web 2.0 applications referring online applications such as Web sites, blogs, social media sites. Today, online applications are integral parts of modern society. They can also be accepted as the most recent social instruments of communication. Non Profit Organizations (NPOs) try to keep up with the innovations and benefit from the PR 2.0 applications. But, when it is regarded to NPOs in Turkey, although PR 2.0 applications are useful at the present time in almost all sectors, the woman aid oriented NPOs are not informed sufficiently about the benefits of these applications or do not prefer to use it, at all.

Because of this reason, this study analyses PR 2.0 utilization of woman aid oriented NPOs in Turkey and questions whether they utilize it in resource finding. It is aimed in the study to search the woman aid oriented NPOs in Turkey through the two indicator questions; “Do woman aid oriented NPOs in Turkey use PR 2.0?” and “Do they benefit from PR 2.0 in resource finding?”.

The study uses both qualitative and quantitative methods. Library sources, online datas and the survey data are used to answer the research questions. Research findings indicate that woman aid oriented NPOs in Turkey do not use the PR 2.0 properly and they do not benefit it in resource finding. Mostly they prefer traditional ways instead of trying the innovative ways. They keep using efficiently the traditional public relations ways both in their communication and resource finding processes.

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**Key Words:** Resourse finding, non for profit organisations, Turkey

### Ozet

Halkla İlişkiler 2.0 (PR 2.0) konusu, Web siteleri, bloglar, sosyal medya siteleri gibi online uygulamaları kapsayan Web 2.0 kavramı ile ortaya çıkmıştır. Bugün online uygulamalar modern toplumun ayrılmaz bir parçasıdır. İletişimin yeni sosyal araçları olarak kabul edilebilir. Sivil Toplum Kuruluşları (STK) yenilikleri takip etmekte ve PR 2.0 uygulamalarından yararlanmayı denemektedirler. Fakat Türkiye’deki STK’lara baktığımızda, günümüzde PR 2.0 uygulamaları hemen hemen tüm sektörlerde yararlı olmasına rağmen, kadına yardım odaklı STK’lar bu uygulamaların yararları hakkında yeterince bilgi sahibi değildirler veya kullanmayı tercih etmemektedirler.

Bu nedenle, bu çalışma Türkiye’deki kadına yardım odaklı STK’ların PR 2.0 kullanımını ve kaynak bulmada PR 2.0 ‘den yararlanıp yararlanmadıklarını analiz etmektedir. Bu çalışmada bu iki gösterge sorular aracılığıyla Türkiye’deki kadına yardım odaklı STK’ların araştırılması amaçlanmıştır; “Türkiye’deki kadına yardım odaklı STK’lar PR 2.0’yi kullanıyorlar mı?” ve “Kaynak bulmada PR 2.0’den yararlanıyorlar mı?”.

Bu çalışmada hem nitel ve nicel yöntemler kullanılmaktadır. Kütüphane kaynakları, çevrimiçi kaynaklar ve anket verileri iki araştırma sorusuna cevap vermek için kullanılmıştır. Araştırma bulguları Türkiye’deki kadına yardım odaklı STK’ların PR 2.0 kullanmadıklarını ve kaynak bulmada PR 2.0’den faydalanmadıklarını göstermektedir. Türkiye’deki kadına yardım odaklı STK’lar çoğunlukla yenilikçi yolları denemek yerine geleneksel yolları tercih etmektedirler. İletişim süreçlerinde ve kaynak bulmada geleneksel halkla ilişkiler yollarını verimli olarak kullanmaya devam etmektedirler.

## Introduction

Woman issues are one of the notable issues in Turkey. Today, there are still many women in Turkey who are forced to do something, abused psychologically and physically, or who want to improve themselves to earn their living. In this sense, Non Profit Organizations (NPOs) have important missions such as listening to the women's problems, finding them solutions, creating activities to enhance the public awareness and finding resource in particular. Yet, there is an inadequate confidence resulting from the deficiencies in NPOs in Turkey when they are compared with the international NPOs (Dursun&Becerikli, 2008). The biggest deficiencies of NPOs in Turkey are that they do not improve themselves in communication and they do not keep up with the innovations. Because of these deficiencies, their supporters do not have proper information about the NPOs and the absolute confidence between organizations and supporters can not be provided. However, almost all international NPOs in the present utilize Public Relations 2.0 (PR 2.0) applications, which are the online PR applications, in order to provide the best aid to their target publics. Through PR 2.0 applications, all these international NPOs can communicate with their target publics directly, inform them, announce the activities to the millions, be organised for events, keep the most recent actual news speedily, prevent themselves from potential crisis, find resources easily and so forth. But, when it is regarded in woman aid oriented NPOs in Turkey, it is understood that they are not aware of PR 2.0. Although social media makes communication easier, people are not informed about the benefits of the social media, which is the one and the most efficient channel of PR 2.0 applications. For this reason, this study aimed to search the woman aid oriented NPOs in Turkey in their usage of PR 2.0 applications and utilizing it in resource finding.

## Conceptualizing PR 2.0

Web 2.0 is a term which has come up with Tim O'Reilly in the O'Reilly Media conference in 2004. Web 2.0 expresses second generation Internet based web services such as communal networks, free encyclopedias with Web based forums, podcasts and the other online sites providing association and sharing (Mutlu,2010). Web 2.0 which is also known with social media name, allows users to interact and collaborate with each other in a social media dialogue as creators (prosumers) of user-generated content in a virtual community, in contrast to Web sites where users (consumers) are limited to the passive viewing of content that was created for them. Examples of Web 2.0 include social networking sites, blogs, wikis, video sharing sites, hosted services, Web applications, mashups and folksonomies. Web 2.0 period brings the online world concept to the agenda. And, online world concept has brought a global dimension into the Internet. New platforms created in internet have become inspirer to free ideas, opinions of users. World has met social networks in a short time with Web 2.0 and these social networks have become a necessary part of individual and communal life (Onat&Alikılıç,2008). Web 2.0 term transforms the users from passive to active on the contrary of Web 1.0. The transformation of Internet to the user oriented dimension has both increased the user count and had a power in sharing globally between users. With this transformation of Internet to the Web 2.0, events of public relations have changed and started adapting into it. Thus "PR 2.0" term has emerged. 2.0 in the term of PR 2.0 referring the shape of communication and public relations. Its mass communication channel is social so it is named as social media. Social media is the most interactive and most social in mass communication tools (Castells,2007).

The new notion which is "user generated content" has arised with Web 2.0. It refers sharing between users. The users send, inform each others about themselves, products, brands, services and so many things. It is important that they generate these datas and share with each other. It is another significant notion is the prosumer coming up with Web 2.0. It is formed by the combination of producer and consumer. In the present, prosumers have an active role at internet; they both produce knowledge such as sharing videos, pictures, their ideas and consume all these using same Internet platforms. Mehmet Nuri Çankaya, Marketing Manager of Microsoft Turkey, says that there is 30 million prosumers all around the world using only Live Messenger (Çankaya,2010). The prosumers form their own circulation that they create their datas and also consume by sharing them with other users. That's why Web 2.0 in other words social media has become widespread communication tool. Prosumer can form, share, change, send, orient unlimited content so that it is the key point of public relations. All these datas which are formed, shared, changed, sent, oriented, have directed by the

prosumers, not by the public relation experts of any brand or any company. Because of this, public relations experts and practitioners have started to design new programs to reach all prosumers towards in these questions where (which social media platforms), when and how all prosumers contact with each other and they also have realized the surprising effects in social media used by prosumers. Because, the prosumers announce their voices not only to millions, but also to firms at the same time. The firms have started to keep social media to connect with millions; their consumers and also potential consumers. With these new communication process, public relations has evolved into Public Relations 2.0 which is related to interaction of online societies, online conversations, online relations. As a result of this evolution, public relations have started to use social media platforms to communicate directly with their stakeholders without using any communication channel. It is obvious that PR 2.0 gains the power from Web 2.0, and it is affected by social media sites and applications. Social media is a mass communication tool so it is a natural context keeping the conversations and the feedbacks of its target public. Moreover, social media has created new sharings which are discrepant from old communication tools, more interactive, more inquisitorial, easier and, 7/24 applicable. Briefly, social media has created the newest group that this group has altered completely the shape of sharing and data collection in communication (Solis,2008).

### ***Theoretical Approaches Through PR 2.0***

According to post-positivist theory, specialists can explain, predict and control the masses through media. For example, researchers who want to explain the relationship between political advertisings, predict which commercials will be most effective, and control the voting behaviour of targeted citizens would, of necessity, rely on post positivist theory (Baran&Davis, 2006). PR 2.0 practitioners and professionals working on social media, can analyse their target publics and explain their mutual or different characteristics. As a result of the analysis, PR 2.0 practitioners and professionals can predict what kind of products, events or services they want and depending on datas they can form their media strategies.

Harold Lasswell's Propaganda Theory emphasizes that media lie to people in order to control them. People need to be slowly prepared to accept radically different ideas and actions. Communicators need a well-developed, long term campaign strategy in which new ideas and images are carefully introduced and then cultivated. Symbols must be created, and people must be gradually taught to associate specific emotions with these symbols. If these cultivation strategies are successful, they create what Lasswell referred to as master or collective symbols (Baran&Davis, 2006). Master symbols are associated with strong emotions and possess the power to stimulate beneficial large-scale mass action if they are used wisely. In contrast with magic bullet notions, Lasswell's theory envisioned a long and quite sophisticated conditioning process. Exposure to one or two extremist messages would not likely have significant effects. According to Lasswell, successful social movements gain power by propagating master symbols over a period of months and years using a variety of media. For example, the emotions we experience when we see the national flag are not the result of a single previous exposure to it. Rather, we have observed the flag in countless past situations in which a limited range of emotions were induced and experienced. The flag has acquired emotional meaning because of all these previous experiences. When we see the flag on television with patriotic music in the background, some of these emotions may be aroused and reinforced (Baran&Davis, 2006). As it is understood in Lasswell theory, PR 2.0 practitioners and professionals use the same way which is well-developed, long term campaign strategies with effective messages, musics and symbols in social media platforms to attract attention of masses. For instance, many brands share their publicity campaigns or commercials in social media platforms to make a sense over the target public. Because, all campaign logos, symbols or commercials have a crucial effect on people. PR 2.0 practitioners and professionals of the brands also put impressive pictures while presenting their events or social responsibilities.

According to Paul Lazarsfeld's Two-Step Flow Theory, the ideas that messages pass from the media, through opinion leaders, to opinion followers. Katz and Lazarsfeld reported that opinion leaders existed at all levels of society and that the flow of their influence tended to be horizontal rather than vertical. Opinion leaders influenced people like themselves rather than those above or below them in the social order. Opinion leaders differed from followers in many of their personal

attributes—they were more gregarious, used media more, were more socially active- but they often shared the same social status (Baran&Davis, 2006). With this explanation, it can be said that social media platforms are not limited with some executives and expert opinion leaders like in other mass media tools such as television, radio and newspapers. Because Web 2.0, namely social media platforms allow people to be prosumers. It is not important whether or not they are professionals or experts to create user-generated contents. For instance, bloggers are opinion leaders. Every of them share their ideas about fashion, music, sport, cars and so forth and each of them interpret the same issue differently. Although they are not a singer, actors & actresses, they can influence the masses quickly. Because they are average joes as me, you and others and that's why they are more liked by masses. Besides, through the two way communication in social media platforms, prosumers who are opinion leaders and consumers can communicate directly eachothers. When the opinion leader follower, namely consumer shared an idea, he or she can be prosumer at the same time. As a result, it is possible that everybody sharing different ideas can be opinion leader. Because of this, PR 2.0 practitioners and professionals not solely keep the accepted opinion leaders, but also the masses relevant to their brands.

Information/innovation diffusion theory developed by Everett Rogers in 1962, is a source-dominated theory that sees the communication process from the point of view of an elite that has decided to diffuse information or an innovation. Rogers assembled data from numerous empirical studies to show that when new technological innovations are introduced, they will pass through a series of stages before being widely adopted. First, most people will become aware of them, often through information from mass media. Second, the innovations will be adopted by a very small group of innovators, or early adopters. Third, opinion leaders learn from the early adopters and try the innovation themselves. Fourth, if opinion leaders find the innovation useful, they encourage their friends—the opinion followers. Finally, after most people have adopted the innovation, a group of laggards or late adopters make the change (Baran&Davis, 2006,p.173). In other words, information/innovation diffusion theory explains how innovations are introduced and adopted by various communities.

Marshall McLuhan's idea which is medium is the message that new forms of media transform our experience of ourselves and our society, and this influence is ultimately more important than the content of specific messages (Baran&Davis, 2006). For instance, PR 2.0 practitioners and professionals share an event related to their brands and projects. And followers not only keep the messages but also share their ideas about the content. It indicates that every medium is the message, and the messages transform person to person. Besides, Marshall McLuhan used the term global village to refer to the new form of social organization that would inevitably emerge as instantaneous electronic media tied the entire world into one great social, political, and cultural system. He also proclaimed media to be the extensions of man that media literally extend sight, hearing, and touch through time and space (Baran&Davis, 2006) . Through social media, all internet users keep the news immediately at the same time with world and also they can share their ideas instantly so it is hard to say social media usage depends on the place and time. Because, social media brings the global life. It is not important where you are or what time it is in place you live. But it is important what you keep and what you share to be a part of this global village.

### **Non-Profit Organizations and Resource Finding**

Non Profit Organizations (NPOs) predominately engage in welfare activities especially in those areas where the government of a country is unable to provide those services. In other words, they help government in achieving their welfare goals. Smith and Danelszen emphasize that these days NPOs are becoming a big business all over the world (Coskun,2007). In United States there are currently over 1.5 million NPOs (Coskun,2007). According to Lattimore, The United States has the largest non-profit sector in the world which includes approximately 1.6 million non-profit organizations, more than 8 million employees and 80 million volunteers (Lattimore& et.al.,2004). Anheir highlights that Great Britain, Canada, Australia, France and Germany also have large non-profit sectors. However, NPOs present in these countries are quite different from each other because of political, cultural, religious and sociological differences (Anheier,2005). According to Smith and Danelszen, many people who share similar interests, hobbies, or thoughts come together as an

organization or club for people who need help such as children, or older people. They generally undertake activities for specific charitable purposes. These type of organizations are called non-profit organizations (Coskun,2007). Anderson describes NPOs as tax free organizations and their main purpose is to support an issue of public concern for non-commercial purposes (Coskun,2007). Rowh explains that NPOs have a special place in a society. NPOs are different from a business organization because there are no owners and their mission is not to earn money for profit (Coskun,2007).

NPOs need human resource, financing, physical entities, functional information. These four needs which are important for the NPOs are explained below.

**Human resource:** Human Resource in NPOs can be examined in two dimensions. One is professional human resource and second is volunteer human resource. Professional human resource are chairman, vice chair, general secretary, manager, coordinator, group president, the assistants and etc. in the management departments of NPOs. Others are the people who want to help willingly for the mission of NPOs. However, human resource in NPOs is indicated generally in the name of volunteering (STGP, 2005).

**Financing:** Although NPOs are the organizations which are not profit oriented organizations, they need a financial support to achieve their missions. They try to apply big projects and activities with minimum finance. Because of it, the biggest reason of NPOs is the financial support finding. Financial supports can be individuals, other NPOs, companies and governmental institutions (Kotler and Andreasen, 2000). In the financing of NPOs human resource is the primarily financial support, because they pay the dues for their memberships. On the other hand, donation campaigns, kermises, auctions contribute to financing of NPOs. Besides, the financial support coming from companies and governmental institutions have an important place in NPOs. For example, government does regulations to support NPOs. In this issue, government presents financial opportunities such as taxfree concession to companies supporting NPOs.

**Physical entities:** NPOs need a place to be founded legally. Besides, they need all equipments from all telecommunication devices to needed facilities which are used in the place. Furthermore, the wealthy individuals can present their a part of their incomes or properties as charity purpose to NPOs. This issue appears in 4721 numbered Turkish Civil Law's 101. item as of "The whole of property or every kind of incomes and the rights having economic value which are materialized or understood to materialize can be made over to a charitable foundation" (<http://www.tbmm.gov.tr/kanunlar/k4721.html>).

**Functional information:** Having a proper information is important for the NPOs. It is emphasized that 85% of success results from active communication and 70% of failures results from faulty communication in present day organizations (Akgemci, et. al., 2003). There may be communication problems between managers and professional workers or chairman and volunteers and so forth (Tosun, 2006). For this reason, NPOs have to organize an effective and sustainable communication between all units in the organization and also its external stakeholders. In this context, NPOs can arrange routine educations to both their workers and volunteers such as fundamental communication, Internet communication, time management, crisis management, motivation and coaching educations ([http://www.volunteeringnthqld.org.au/about\\_volunteering.htm](http://www.volunteeringnthqld.org.au/about_volunteering.htm)).

### Research:

Ten woman aid oriented NPOs in Turkey; Kadın Emegini Değerlendirme Vakfı "Foundation for the Support of Women's Work (FSWW)", Mor Çatı Kadın Sığınağı Vakfı "Mor Çatı Women's Shelter Foundation", Anne-Çocuk Eğitim Vakfı "The Mother & Child Education Foundation", Anne ve Bebek Sağlığı Vakfı "The Mother and Health Foundation", Kadın Sorunlarını Araştırma Derneği "Association of Women's Issues", Kadın Haklarını Koruma Derneği "The Protection of Women's Rights Organization", Kadın Girişimciler Derneği "Women Entrepreneurs Association of Turkey", Kadın Adayları Destekleme ve Eğitim Derneği "The Association for The Support and Training of Women Candidates", Uçan Süpürge Kadın İletişim ve Araştırma Derneği "**Flying Broom Woman Communication and Research Organization**", Kadın İnsan Hakları- Yeni Çözümler Derneği "Women for Women's Human Rights (WWHR) – New Ways" were chosen to research. Datas related to ten woman aid oriented NPOs were collected from their Web sites. Informations include the

reasons of the organizations' foundation with the lack of works made for women in Turkey and their fundamental aims and activities. As a limitation, one of the ten NPOs do not have its own Web site so its datas were collected from another actual Web site focusing on women.

The survey was prepared to find out the social media use of the ten woman aid NPOs in Turkey chosen for the research and to resolve if they are aware of the importance of PR 2.0 in resource finding or not. After preparation of the survey which was done according to indicators appearing in Literature Review, face validity was practiced to make sure the survey validity. The indicators of the survey were related to PR 2.0 application of NPOs and social media usage of NPOs in resource finding.

The codes were determined to analyse the survey in SPSS program.

Every NPO in the research were coded but tenth NPO which is Kadın İnsan Hakları- Yeni Çözümler Derneği "Women for Women's Human Rights (WWHR) – New Ways" withdrew from the research at the last moment so the research was done with the nine NPOs. 16 main questions (except the comment questions) and their subquestions and their options in the survey were coded separately. Each positive and answered or signed questions were named 1 code, and each negative and unanswered or unsigned questions were named 2 code. After coding, datas were evaluated in SPSS program.

## Survey findings

The survey findings are given in tables below. Tables' names refer the contents of each questions, and the matters appearing in the tables refer the options of questions in the survey.

**Table 1.1: Web site ownership**

Web site ownership	N	% of Total N
NPOs with a Web site	8	88,9
NPOs without a Web site	1	11,1

According to Table 1.1 referring 1. question in the survey, 8 NPOs answered positively although 1 NPO answered negatively. It indicates that all of eight NPOs have their Web sites. The percentage terms of 1. question in the survey are indicated in the table above.

**Table 1.2: Aims of the Web sites**

Aims of the Web sites	N	% of Total N
To give and collect information	7	77,7
To emphasize the image of NPO	4	44,4
To communicate	5	55,5
To provide the familiarness	4	44,4
To increase the target public or supporters	3	33,3
Other	4	44,4

Regarding to Table 1.2 referring 2. question in the survey; NPOs can sign more than one choice in the survey questions so Table 1.2 indicates that NPOs use their Web sites with more than one aim. 7 NPOs use their Web sites to give and collect information, 4 NPOs use their Web sites to emphasize their images, 5 NPOs use their Web sites for communication, 4 NPOs use their Web sites to provide their familiarnesses, 3 NPOs use their Web sites to increase their target public or supporters, and 4 NPOs use their Web sites for other reasons. Three of the NPOs signing "other" choice, have a Web site without any aim. They have a Web site only to have one so they do not use their Web sites actively. One of that four NPOs signing "other" choice, use the Web site to have a prestige. The percentage terms of 2. question in the survey are indicated in the table above.

**Table 1.3:** Frequency of NPOs' updates

Frequency of NPOs' updates	N	% of Total N
Once a month	1	11,1
Once a three months	-	
Once a six months	-	
Once a year	1	11,1
Never	1	11,1
Other	6	66,6

Regarding to Table 1.3 referring 3. question in the survey; one of nine NPOs update their Web sites once a month, other NPO update their Web sites once a year, and another NPO never updates their Web sites. And other 6 NPOs update their Web sites when they only want, check and need to share new informations. The percentage terms of 3. question in the survey are indicated in the table above.

**Table 1.4:** Feedback part in the Web sites

Feedback part in the Web sites	N	% of Total N
NPOs which have a part in their Web sites to get feedback	7	77,8
NPOs which do not have any part in their Web sites to get feedback	2	22,2

According to Table 1.4 referring 4. question in the survey, 7 NPOs answered positively although 2 NPOs answered negatively. It indicates that seven of them have a feedback part in their Web sites. The percentage terms of 4. question in the survey are indicated in the table above.

**Table 1.5:** Channels to get feedback

Channels to get feedback	N	% of Total N
E-mail	7	77,8
Forum	-	
Blog	-	
Messenger	-	
Social Media sites	2	22,2
Other	-	

Regarding to Table 1.5 referring b of 4. question in the survey, 7 NPOs get feedback with e-mail, and two of them get feedback via Social Media sites. None of them use forum, blog, messenger or other channels to get feedback. The percentage terms of b in 4. question in the survey are indicated in the table above.

**Table 1.6:** The importance of Social Media

The importance of Social Media	N	% of Total N
NPOs which accept the importance of Social Media	6	66,7
NPOs which do not accept the importance of Social Media	3	33,3

Regarding to Table 1.6 referring 5. question in the survey, 6 NPOs answered positively although 3 NPOs answered negatively. It indicates that six of them accept the importance of Social Media and three of them do not accept the importance of Social Media. The percentage terms of 5. question in the survey are indicated in the table above.

**Table 1.7:** Appearing in Social Media

Appearing in Social Media	N	% of Total N
NPOs which appear in Social Media	6	66,7
NPOs which do not appear in Social Media	3	33,3

According to Table 1.7 referring a of 6. question in the survey, 6 NPOs answered positively although 3 NPOs answered negatively. It indicates that six of them appear in Social Media and other three of them do not appear in Social Media. The percentage terms of a in 6. question in the survey are indicated in the table above.

\*It is indicated in Table 1.6 and Table 1.7 that 6 organizations accept the importance of Social Media and appear in Social Media. Three of them do neither accept the importance of Social Media nor appear in Social Media. But, one of them accepting the importance of Social Media does not appear in Social Media. It explains that although the organization is conscious of the importance of Social Media, it does not prefer to benefit from Social Media. Besides, another of them giving negative response to the importance of Social Media, appear in Social Media. It explains that although the organization does not accept the importance of Social Media, it appears in Social Media. In other words, that organization can not benefit from Social Media efficiently.

**Table 1.8:** Social Media channels

Social Media channels	N	% of Total N
Facebook	6	66,6
Twitter	5	55,5
Google+	1	11,1
Youtube	3	33,3
LinkedIn	-	
Other	3	33,3

Regarding to Table 1.8 referring b of 6. question in the survey; NPOs can sign more than one choice in the survey questions so Table 1.8 indicates that some NPOs appear in a few Social Media channels. 6 NPOs use Facebook, 5 NPOs use Twitter, 1 NPO use Google+, 3 NPOs use Youtube, none of them use LinkedIn and three of them use other channel which is MySpace. The percentage terms of b in 6. question in the survey are indicated in the table above.

**Table 1.9:** Control of Social Media

Control of Social Media	N	% of Total N
NPOs which have a private unit to control Social Media	4	44,4
NPOs which get help from a private company to control Social Media	-	
NPOs which get help from another source to control Social Media	2	22,2

According to Table 1.9 referring 7. question in the survey, 4 NPOs have a private unit in their NPOs to control their Social Media usage. None of them get help from a private company to control their Social Media usage. Two of them try to control their Social Media usage with

themselves unprofessionally instead of forming a private unit in the NPO or getting help from a private company. As it is understand that, 6 NPOs answer this question. Three of nine NPOs do not appear in Social Media channels so they do not answer this question. The percentage terms of 7. question in the survey are indicated in the table above.

**Table 1.10:** New target public through Social Media

New target public through Social Media	N	% of Total N
NPOs which can form new target public through Social Media	5	55,6
NPOs which can form new target public through Social Media	4	44,4

Regarding to Table 3.10 referring 8. question in the survey, 5 NPOs answered positively although 4 NPOs answered negatively. It indicates that five of 6 NPOs appearing in Social Media channels can form the new target public by Social Media. The percentage terms of 8. question in the survey are indicated in the table above.

**Table 1.11:** Direct communication with target public through Social Media

Direct communication with target public through Social Media	N	% of Total N
NPOs which can make direct communication through Social Media	6	66,7
NPOs which can not make direct communication through Social Media	3	33,3

According to Table 3.11 referring a of 9. question in the survey, 6 NPOs answered positively although 3 NPOs answered negatively. It indicates that six of them accept that Social Media provide a direct communication with their target public. The percentage terms of a in 9. question in the survey are indicated in the table above.

**Table 1.12:** Comparison of traditional and online PR application in direct communication

Comparison of traditional and online PR applications in direct communication	N	% of Total N
NPOs which accept the activeness of traditional PR applications	6	66,7
NPOs which accept the activeness of online PR applications	3	33,3

Regarding to Table 3.12 referring b of 9. question in the surcey, 6 NPOs accept that Traditional PR applications using traditional media channels (newspaper-magazine-bulltein etc) are more active in their direct communication. 3 NPOs accept that PR 2.0 applications using Social Media channels (Facebook-Twitter-blogs etc) are more active in their direct communication. The percentage terms of b in 9. question in the sruvey are indicated in the table above.

\*Table 1.11 indicates that 6 NPOs accept that Social Media provide a direct communication with their target public and Table 1.12 indicates that 3 NPOs accept that Online PR applications are more active in their direct communication. Datas explain that three of six NPOs appearing in Social Media channels and making direct communication with their target public through Social Media, think that traditional PR applications are more active in direct communication when it is compared with online PR applications.

**Table 1.13:** Prevention of crisis thanks to feedbacks in Social Media

Prevention of crisis thanks to feedbacks in Social Media	N	% of Total N
NPOs which can prevent the crises thanks to feedbacks in Social Media	4	44,4
NPOs which can not prevent the crises thanks to feedbacks in Social Media	5	55,6

Regarding to Table 1.13 referring a of 10. question in the survey, 4 NPOs answered positively although 5 NPOs answered negatively. It indicates that four of them can prevent any crisis thanks to a feedback or suggestion they have gotten in Social Media. As it is understand that four of six NPOs appearing in Social Media channels, can prevent the crises thanks to feedbacks in Social Media. The percentage terms of a in 10. question in the survey are indicated in the table above.

**Table 1.14:** Analyzing the target public in Social Media

Analyzing the target public in Social Media	N	% of Total N
NPOs which can analyze the target public in Social Media	4	44,4
NPOs which can not analyze the target public in Social Media	5	55,6

According to Table 1.14 referring a of 11. question in the survey, 4 NPOs answered positively although 5 NPOs answered negatively. It indicates that four of them can analyze and fix the interests of their target public in Social Media. As it is understand that four of six NPOs appearing in Social Media channels, can analyze their target public in Social Media. The percentage terms of a in 11. question in the survey are indicated in the table above.

**Table 1.15:** Interaction with target public in network groups

Interaction with target public in network groups	N	% of Total N
NPOs which can interact with target public in network groups	3	33,3
NPOs which can not interact with target public in network groups	6	66,7

According to Table 1.15 referring a of 12. question in the survey, 3 NPOs answered positively although 6 NPOs answered negatively. It indicates that three of them can interact with their target public in network groups they have formed in Social Media sites. As it is understand that three of six NPOs appearing in Social Media channels, can interact with their target public in network groups. The percentage terms of a in 12. question in the survey are indicated in the table above.

**Table 1.16:** Spread of message in Social Media

Spread of message in Social Media	N	% of Total N
NPOs which accept the spread of message in Social Media	6	66,7
NPOs which do not accept the spread of message in Social Media	3	33,3

Regarding to Table 1.16 referring a of 13. question in the survey, 6 NPOs answered positively although 3 NPOs answered negatively. It indicates that six of them accept that Social Media provide any effect (for example, a word of mouth marketing) in the spread of their messages. As it is understand that all of six NPOs appearing in Social Media channels, are conscious about the spread of message in Social Media. The percentage terms of a in 13. question in the survey are indicated in the table above.

**Table 1.17:** Measurement of spread of messages

Measurement of spread of messages	N	% of Total N
NPOs which can measure the spread of message	4	44,4
NPOs which can not measure the spread of message	5	55,6

According to Table 1.17 referring b of 13. question in the survey, 4 NPOs answered positively although 5 NPOs answered negatively. It indicates that four of them can measure the spread of the messages. As it is understand that four of six NPOs appearing in Social Media channels, can measure the spread of their messages. The percentage terms of b in 13. question in the survey are indicated in the table above.

**Table 1.18:** Activist works through Social Media

Activist works through Social Media	N	% of Total N
NPOs which accept the effectiveness of Social Media in activist works	7	77,8
NPOs which do not accept the effectiveness of Social Media in activist works	2	22,2

Regarding to Table 1.18 referring 14. question in the survey, 7 NPOs answered positively although 2 NPOs answered negatively. It indicates that seven of them accept that Social Media sites are effective in activist works in Turkey. As it is understand that 2 NPOs which do not appear in any Social Media channels, are conscious about the effectiveness of Social Media channels in activist works. The percentage terms of 14. question in the survey are indicated in the table above.

**Table 1.19:** Finding resource in Social Media

Finding resource in Social Media	N	% of Total N
NPOs which use the Social Media to find resource	3	33,3
NPOs which do not use the Social Media to find resource	6	66,7

According to Table 1.19 referring a of 15. question in the survey, 3 NPOs answered positively although 6 NPOs answered negatively. It indicates that three of them use Social Media channels to find the resource (every kind of support and supporter) for their NPOs. As it is understand that three of six NPOs appearing in Social Media channels, can not find any resource in Social Media channels. The percentage terms of a in 15. question in the survey are indicated in the table above.

**Table 1.20:** Finding resource choices

Finding resource choices	N	% of Total N
Human resource	3	33,3
Financing resource	1	11,1
Physical entity resource	1	11,1
Functional information resource	1	11,1

Regarding to Table 1.20 referring b of 15. question in the survey, all of three NPOs which use Social Media channels to find resource finding, can reach human resource. Besides, one of these three NPOs can reach financing resource, another of these three NPOs can reach physical entity resource and another one of these three NPOs can reach functional information resource in Social Media channels. The percentage terms of b in 15. question in the survey are indicated in the table above.

**Table 1.21:** Finding resource in Social Media channels

Finding resource in Social Media channels	N	% of Total N
Facebook	2	22,2
Twitter	2	22,2
Google+	-	
Youtube	-	
LinkedIn	-	
Other	1	11,1

Regarding to Table 1.21 referring c of 15. question in the survey, two of three NPOs which use Social Media channels to find resource finding, benefit from both Facebook and Twitter to find resource. One of three NPOs which use Social Media channels to find resource finding, benefit from other channel which is MySpace to find resource. None of them prefer Google+, Youtube, LinkedIn to find resource. The percentage terms of c in 15. question in the survey are indicated in the table above.

**Table 1.22:** Keeping of opinion leaders in Social Media

Keeping of opinion leaders in Social Media	N	% of Total N
NPOs which keep the opinion leader in Social Media	4	44,4
NPOs which do not keep the opinion leader in Social Media	5	55,6

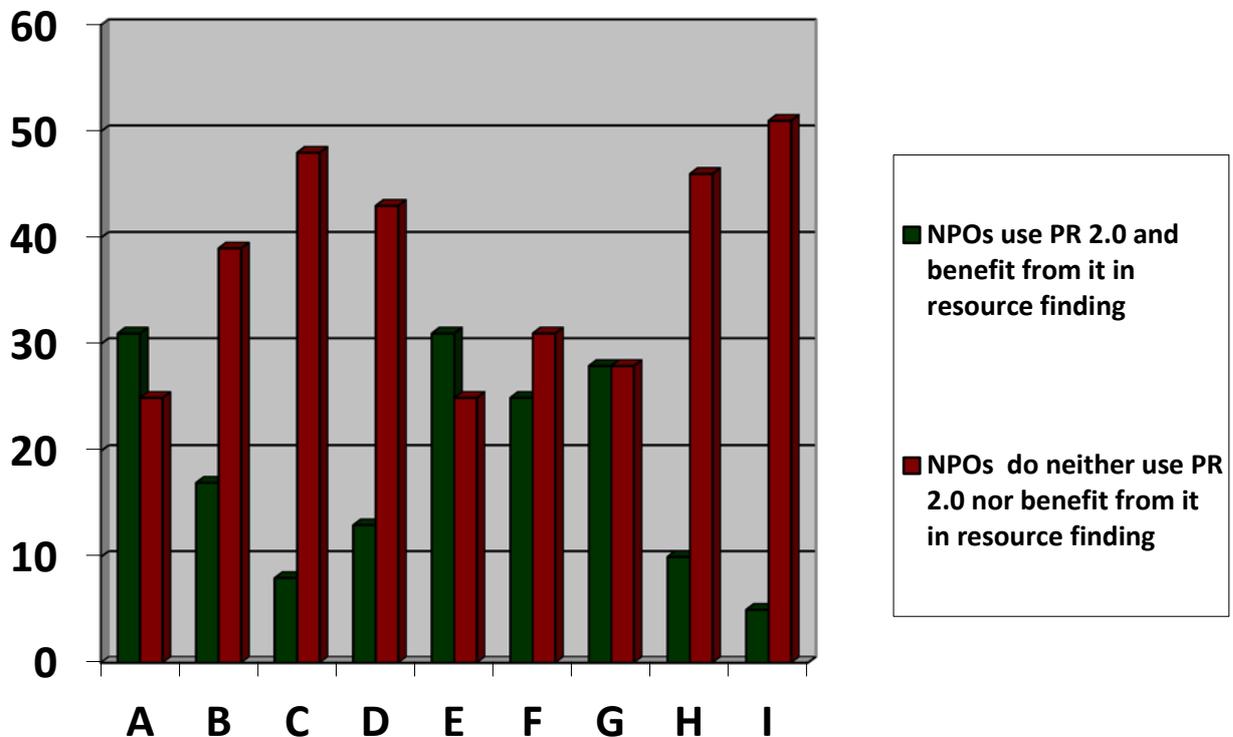
According to Table 1.22 referring a of 16. question in the survey, 4 NPOs answered positively although 5 NPOs answered negatively. It indicates that four of them keep opinion leader/s in Social Media. The percentage terms of a in 16. question in the survey are indicated in the table above.

**Table 1.23:** Use of the informations getting from opinion leader/s

Use of the informations getting from opinion leader/s	N	% of Total N
NPOs which only share the informations getting from opinion leader/s	1	11,1
NPOs which enhance the events in towards of the informations getting from opinion leader/s	3	33,3
NPOs which can find resource through the informations getting from opinion leader/s	-	

Regarding to Table 1.23 referring b2 of 16. question in the survey, One of four NPOs keeping opinion leader/s in Social Media, benefits from them to only share the information. Other three of four NPOs keeping opinion leader/s in Social Media, enhance the events in towards of the informations getting from opinion leaders/s. The percentage terms of b2 in 16. question in the survey are indicated in the table above.

According to these findings in the tables above, the following graphic indicates the overall results pertaining to the usage of PR 2.0 and utilizing from it in resource finding of woman aid oriented NPOs.



**Figure 1.1:** The rate of answers

The graphic above indicates the rate of answers. 9 NPOs were alphabetically and randomly named in this graphic not to give organizations' names directly. Although green rates indicates that NPOs use PR 2.0 and benefit from it in resource finding, red rates indicates that NPOs do neither use PR 2.0 nor benefit from it in resource finding. In the total, woman aid oriented NPOs in Turkey which are chosen for the research do not use PR 2.0 and benefit from PR 2.0 applications in resource finding.

### Conclusion

“Do woman aid oriented NPOs in Turkey use PR 2.0? and “Do they benefit from PR 2.0 in resource finding?” questions were the indicators of the study. According to the research findings, woman aid oriented NPOs in Turkey do neither use PR 2.0 nor benefit it in resource finding. Moreover, they are not aware of the importance of the social media. Even if one of them accepts the importance of social media, generally they still prefer the traditional media channels such as newspaper, bulletin, magazines and they do not even try the PR 2.0 applications.

PR 2.0 is not only composed of social media. There are seven elements of PR 2.0 except the social media; Corporate Web sites, e-mail groups, search engines, media share sites, forums-news-argument groups, wiki, and blogs. But social media is most effective tool of PR 2.0 applications. It provides individual to individual, individual to group, and group to group interaction between people, firms and so forth. It is also the most interactive, social and necessary tool of our present in mass communication tools (Castells, 2007). Through social media sites, online communities can be created. Moreover, when it is regarded in post-positive theory, specialists can explain, predict and control the

masses through media. In this sense, social media gains more importance. Because, it is more easy to explain, predict and control the masses in social media compared with the traditional media. For instance, Starbucks which is a well known world brand all over the world is the one of those companies using the social media efficiently. PR practitioners of Starbucks present online surveys in their pages appearing in social media sites. Through the online surveys, they can analyze both their actual and potential target public. Besides, they can predict the choices of their target public about the beverages or foods. Thus, they can renew their menus. As in this example, there are a lot of firms, foundations, companies benefiting from the social media efficiently all over the world. It explains that not only profit organizations but also NPOs have to benefit from the social media. Through the social media, they can analyze their community, add new communities into their organizations and predict the abilities of people for the benefit of the organization. For example, after analyzing the characteristics of individuals through online surveys or forms in social media NPOs can determine which individual is more suitable for human resource or financial resource whether s/he is suitable for the organization.

NPOs have generally been slow in joining the social media revolution. According to Waters et al., NPOs use social media to streamline their management functions, interact with volunteers and donors, and educate others about their programs and services (Bosten, 2011). Social media channels are effective and efficient communication channels for NPOs not only to promote their causes but also to attract potential resources which are human, financing, physical entities, functional information resources. Besides, NPOs can maintain the relationships with current resources through usage of social media due to its interactivity. Today, more than 90% of top NPOs have donor-related Web pages and nearly 80% have a room to recruit volunteers (Jun, 2011). Furthermore, social media channels also allow NPOs to create profiles and they can have opportunities to communicate directly with their publics. Waters et al. have found that NPOs use social media networking sites to update their management functions to communicate with volunteers and donors, and to promote their programs and services (Bosten, 2011).

According to Erhan Çokkeçeci who is the director of fund raising and new media in Greenpeace Akdeniz, social media users are more active than other media followers so NPOs can reach the crucial main target public through social media channels. According to Tuğba Uğur who is communication manager of World Wildlife Fund for Nature Turkey (WWF Turkey), social media help them in two important points; one is related to attract the attention of social media visitors, second is the low budget. That is why WWF Turkey appears in the social media channels much more than traditional media channels. Moreover, Lara Akış Baruh who is the group chair of Wanda Socialist agency in Turkey, says that social media is the best suitable tool for the NPOs (<http://www.webrazzi.com/2011/06/22/sosyal-medya-stk>). People can both freely address themselves without hesitation in social media sites and gain time. In this context, it is connected by the time and space theory of Anthony Gidens. Because, we all are in the information era, and individuals reach the information by the help of technology. Thus people gain time through the technology. Because of that online applications are more beneficial so PR 2.0 applications, which are online PR applications, make us gain time.

Furthermore, social media sites provide social activism opportunity. For instance, upraising in Tunisia has started as youth rising and people have connected with each others by using social media. Egypt can also be indicated as a second example of digital activism during Arab Spring. Regarding the NPOs in Turkey, Turkish people have potential to attend this kind of activism via social media. For instance, animal welfare organizations' supporters have created an activity via social media as to win the public and to create a conscience about massacre of the animals for their furs.

In conclusion, all datas indicate that some NPOs in Turkey which are mostly global organizations, use PR 2.0 applications and benefit them in resource finding. However, according to research findings, local woman aid oriented organizations in Turkey, neither utilize PR 2.0 applications nor benefit them in resource finding. Nevertheless, it can be claimed that in the future, social media channels and other PR 2.0 applications will be more efficient for them to interact with their target public directly and to find various resources. Because of that, the woman aid oriented NPOs in Turkey have to catch today's online opportunities to enhance themselves like global organizations. For instance, they need to have knowledge about PR 2.0 applications and sites,

corporate Web sites, pages in Social Media channels. They also have to share videos, pictures, informations in order to attract attention of their audiences. Following studies may examine this crucial subject in Turkey and scrutinize the subject from other perspectives.

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## COMBATING DOMESTIC VIOLENCE – POLISH SYSTEMIC SOLUTIONS

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### Abstract:

The process of recognising domestic violence in Poland begun in 1990s, drawing the attention of the researchers mostly to parent-child abuse. In most such cases, using violence against children was deemed a necessary part of upbringing, a method of discipline forcing children to follow specific behaviour patterns. Social acceptance for corporal punishment was rooted in established moral standards, stereotypes and recurring nature of the cycles of violence across generations. Domestic violence is present in various relations (parent-child, partner-partner, younger-older) and is usually of hidden nature (except extreme cases), therefore, in the first place, the researchers focused on the attempt to assess the scale and effects of the problem (both direct effects, as well as long-term effects), establishing a support system for the victims, as well as educational impact both on national, as well as local levels aimed at changing the social attitude towards domestic violence.

The main goal of this article is to present the Polish system for combating family violence in the light of the scale of the problem and various types of social attitude towards it.

The following issues are discussed in this article:

- established moral standards and stereotypes concerning domestic violence, especially corporal punishment for children
- scale of the problem of domestic violence
- strategies of helping the victims, including the structure of support institutions
- strategies of intervention and correction actions against perpetrators, including the Blue Card procedure as the main intervention procedure used in Poland
- education activities for both professionals and the society as a whole

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**Key Words:** Domestic violence, violence prevention program, prevention system

### Introduction

The national program for combating violence has been implemented in 2006 pursuant to the Act on combating family violence dated 2005. Before that, local self-governments and self-government organisations were responsible for combating violence. The aim of such program was to coordinate the actions of various public services and to establish a complex, interdisciplinary support system. The ban on corporal punishment for children was introduced in Poland in 2010, yet Poland had implemented laws prohibiting physical and mental abuse many years earlier.

The program for combating family violence is aimed at:

- changing the social attitude towards the problem of violence
- promoting family values
- educating people (children, teenagers and adults) with regard to adverse effects of using violence
- promoting upbringing without violence.

In the Polish system for combating domestic violence, there are 4 areas covered by prevention of violence:

- Preventive actions: -diagnostic, informative and educative actions aimed both at the society and at professionals working with victims and perpetrators of violence
- Intervention actions: caregiving and therapeutic actions for victims of violence, as well as admonitory and detention actions for perpetrators

- Supportive actions: psychological, pedagogical, therapeutic and other addressed to victims
- Correction and education actions addressed to violence perpetrators. The following authorities are responsible for actions provided for in the Program:
  1. Ministry of National Education
  2. Ministry of Health
  3. Ministry of Justice
  4. Chief Police Headquarters

### **Stereotypes concerning domestic violence**

For many years, domestic violence had not been recognised as a serious social issue, even the term „domestic violence” was rarely used, people rather talked about „family fights”, „quarrels” or „misunderstandings”. The process of recognizing such problem has a relatively short, only 20-year history in Poland and other countries of Central and Eastern Europe, as in the past it had not been brought to light, especially with regard to parental corporal punishment. Such established moral standards passed down from generation to generation and popular myths saying that „you have to beat your child to make him a decent person”, are deeply rooted in a patriarchal model of family with century-long tradition. In ancient Sparta, it was the father, the head of the family, who decided whether his child should live or die. Medieval “upbringing methods” in the form of whipping were used not only against naughty children, but as a preventive measure as well. Numerous stereotypes include the following statements: “slaps are not violence; nobody should interfere with family’s business, even if there’s violence involved.”; “beating does no harm to anyone”; “the victims usually get what they deserve”; or “there is no such thing as rape in marriage”. Such beliefs make it more difficult to react properly to incidents of cruel acts of violence against the closest persons. It seems that the most difficult thing is to convince the society that domestic violence is not a private business and does not occur in dysfunctional families only. Such tendency of “staying out of family business” and making the victims responsible for what is happening is a deciding factor in delaying interventions. B. Zięba accurately states that: „hidden pathologies can appear in „healthy” families as well”, keeping up appearances in the eyes of their neighbours and local community. “For the “sake” of the family, family members try to keep their problems related to alcohol abuse, physical or mental violence or other issues a secret.” (2010, p. 506)

Common stereotypes undoubtedly result in social acceptance of domestic violence. Studies conducted in Poland by the Public Opinion Research Center have shown that although the number of corporal punishment opponents has risen by 9% in the last 4 years, 45% of Poles still approve of such punishment in upbringing. Also the statement that “beating does no harm to anyone” is expressed by over 1/3 of the Polish society. However, in this respect, the number of opponents of any corporal punishment against children is also on the rise. It is also worth mentioning that mostly the oldest and least educated respondents express the opinion that corporal punishment is not harmful for children. Men, more often than women, accept violence against children. The studies conducted in 2002-2003 shows that violence as part of upbringing was accepted by 55% of parents and 1/3 of teachers and the comparative study conducted 5 years later have shown that the social acceptance for beating children has decreased by 9%. (Maćkiewicz 2009)

### **Scale of the problem of family violence on the basis of selected studies**

The first studies on physical violence against children, including slaps, had been conducted in Poland in 1982-1984 (A. Piekarska, 1991) and showed that parents use slaps in 80% cases, hand beating in 67% and cruel beating (using a belt or other object) – in 40% cases. Other studies in 1990s among school children showed that 1/3 of the parents use physical violence (in various forms) against their children (K. Kmiecick-Baran, 1999). In 2001, studies were conducted on a representative group of adult Poles. Such studies concerned both their childhood experiences of violence, as well as using violence against their own children. The results of such studies showed that „child-raising beating” is a common strategy among parents. 80% of the adults admitted that they experienced corporal

punishment in their own childhood and most of them as early as in the primary school. What is interesting, the adults claimed that they deserved such punishment and most of them (80%) admitted that they use corporal punishment to discipline their own children. (Fluderska, Sajkowska 2003). The experience of violence in childhood is the main factor triggering violence against one's own children in his/her adult life. (Straus, Yodanis 1996, Pollak 2002, Maćkiewicz 2007). Such generation tendency strengthened stereotypical beliefs in next generations. Education campaigns initiated for years have been gradually changing the social understanding of violence against children and related stereotypes, which entails higher rates of reacting to violence. Poll studies clearly show that such slow changes in our mentality result in decrease of incidents of corporal punishment. In the last 18 years, the number of people who have never hit their own child has risen by almost 30%. A statistical image of the scale of the problem is presented in figure 1. The presented data related to incidents of intervention in cases of domestic violence. Such statistics have been gathered by the police since 1999. The data presented in figure 1 clearly shows that the scale of the problem had been on the rise in subsequent years and only since 2006, there has been a visible decreasing tendency. Implementation of systemic solutions has facilitated intervention and support actions, as a result of which the scale of the problem has decreased. The simultaneous educative campaigns aimed at the whole society have also been of importance, as proven by the introduction of ban on corporal punishment against children.

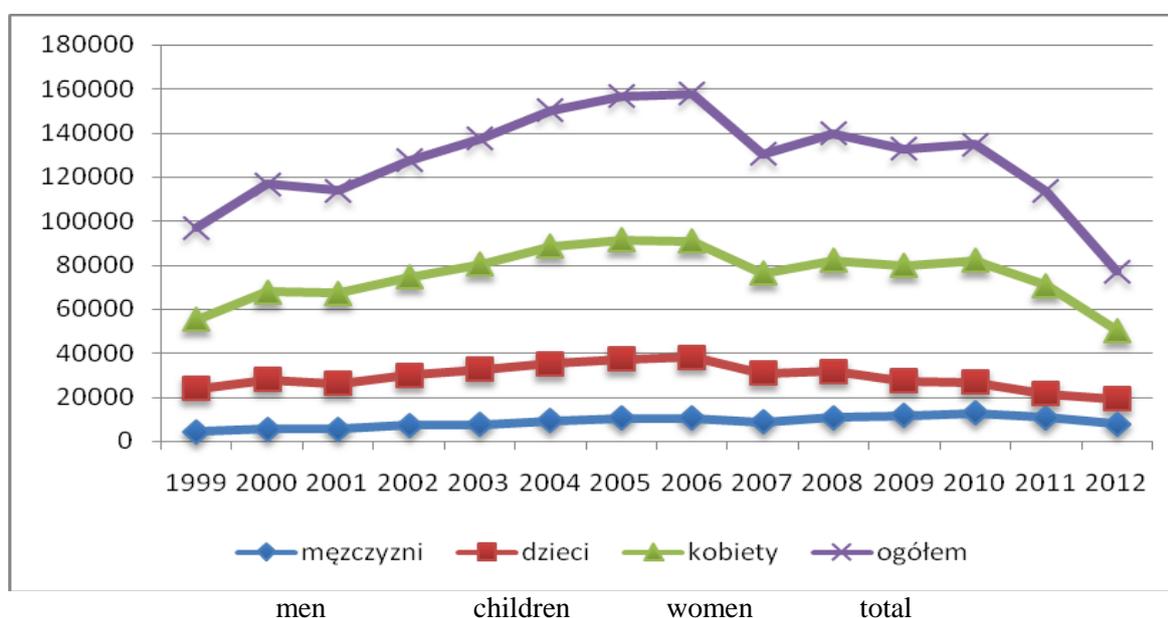


Figure.1. Number of victims of domestic violence according to the police statistics.

### Forms of help and support for the victims of domestic violence

In the Polish system, there are many forms and institutions aimed at helping the victims of domestic violence. These include: consultation points, crisis intervention centres, support centres and homes for mothers with children and pregnant women.

Throughout Poland, there are 1295 institutions run by local self-governments helping the victims of domestic violence. Most of them are consultation points.

All such institutions provide information, cooperate with organisations combating domestic violence, as well as monitor and evaluate their own activities. Other tasks of such institutions are as follows:

Consultation points have the best availability and are responsible for the following tasks:

- providing information on organisations and institutions that can provide help
- providing legal aid, consultations and help in filling in various documents

- providing psychological support
- offering psycho-education with regard to violence
- providing refuge for persons/families at risk of violence. The centre can be contacted by phone and e-mail in selected weekdays, as well as in person on other days.

Crisis intervention centres initiate support actions in the environment of persons affected by violence, provide psychotherapy for the victims and specialist medical services, such as gynecological and psychiatric care, as well as legal aid in the form of an attorney. Such centres offer their help 24h/day, as well as provide immediate refuge and basic living conditions.

Support centres and specialist support centres deal mainly with preparing individual help plans for victims of violence, taking into consideration individual needs, goals, methods and schedule, assessment of the children's situation based on the social enquiry, as well as organisation of individual therapy with a view to support victims of family abuse, as well as to ensure that such victims acquire skills necessary to defend themselves against persons using violence in their family.

The detailed activities of such centres are as follows:

- providing access to medical help, family counseling, psychological support and legal aid
- family mediations
- crisis intervention
- trainings, counseling and education,
- education and motivation activities for victims of domestic violence
- correction and education program for the perpetrators of violence
- social work, social counseling, psychological training
- 24/h day refuge in critical situations caused by domestic violence
- help lines, online contact

In addition, specialist support centres provide legal aid in the form of a legal representative / attorney, medical consultations, as well as run marriage and family therapies.

Homes for mothers with their minor children and pregnant women are aimed in the first place at providing direct protection from violence and changing the destructive life situation of the victims of family violence with a view to improve their physical, mental and social functions (e.g. by regaining strength, health and ability to defend their rights, improve control over their own lives, e.g. teaching them to seek help, give proper parental guidance for their children, as well as to improve their overall living situation by helping them find a job or a place to live). Such support is possible by:

- increasing the social awareness of the problem of domestic violence
- providing safe refuge and immediate material help (such as clothes, food, cleaning materials),
- social work, including the work of family assistants,
- individual consultations, legal aid, psychological and pedagogical support,
- support group for women aimed at dealing with violence,
- individual and group psychological therapy,
- self-defense and assertiveness training courses,
- child-raising skills workshops for mothers,
- social therapy and reeducation activities for children,
- improvement of social life and professional career.

Among many forms of support for victims of violence, one of the most important aspect is the opportunity to talk and receive support online or by e-mail. New technologies are an important tool in combating violence, especially for the elderly, who are often dependent on others and experience various limitations. According to A. Domagała-Kręciach (2012, p.390) „the elderly, fighting the stereotypes, in order to avoid being left behind, should actively take up all the everyday activities, including those based on new technologies. Such activities shape new social awareness and make the elderly valuable members of the society”. Thanks to digital competences, the elderly can find pages

with information and support without leaving their homes. Such opportunities give the victims a feeling of anonymity in such difficult and often embarrassing, from their point of view, situations.

Over the last 6 years, we have been noticing a changing tendency, consisting in a drop in the number of persons using support centres, which can be a sign of the fact that the demand for specialist help is decreasing as long-term experience of violence is less frequent due to coordinated intervention actions. The society also reacts to violence more frequently, therefore families experiencing violence can receive help early enough.

An important part of actions aimed at improving witnesses' protection is to provide proper conditions for interviewing children – victims of sexual abuse and, if possible, adults – victims of domestic violence. This is done by setting up child-friendly interview rooms, the so called blue rooms. Special attention is paid to conditions and legal requirements regulating interviews with young victims. Such interview is always done by a judge together with a child psychologist and as a rule, a child can be interviewed only once, although the law provides for some exceptions in this respect. Most of such centres are equipped with matching furniture and audiovisual devices for communication between the interviewers located in two different rooms separated by a one-way mirror, as well as recording the interview, meeting all the requirements for court procedures involving minors. In 2011, there were over 420 child-friendly interview rooms. They are located at police stations, courts and prosecutors' offices.



Fig. 1. Blue room – a child-friendly interview room for interviewing young victims of violence

### **Strategies of action with regard to perpetrators of domestic violence**

Actions taken up against perpetrators of domestic violence can be divided into interventions and corrective-educative actions.

An important part of the system of combating domestic violence, especially in respect to intervention strategies, is the Blue Card procedure existing in Poland since 1998, initially used only by police officers in cases of domestic violence interventions or interventions following reports of family members or witnesses of domestic violence. Initiation of such procedure does not require the consent of the victim. The Blue Card should be filled in at the intervention site in the presence of the perpetrator. (Sasal, 1998).

In confirmed cases, the cards are sent to institutions, interdisciplinary teams that prepare a plan of action regarding the victim and the perpetrator. However, the victim can reject help offered by the relevant institution – the case is then monitored by a police community support officer. Since 2004, pursuant to the Act on social support, the „Blue Card” procedure has been obligatory for social workers and the amended Act on combating domestic violence dated 2010 put an obligation of following the Blue Card procedure on 5 public services: police, social workers, education, healthcare and commune committees for problems with alcohol. Polish solutions used by the police for combating family violence, with special consideration of the „Blue Card” procedure have become a part of the study entitled *Handbook of best police practices on tackling violence against women*. The handbook, prepared during the Spanish presidency in the EU, has been made available to the police

officers in the European Union and has become a model for numerous European initiatives concerning the issue of domestic violence.

A Blue Card consists of four parts: A, B, C and D. The Blue Card procedure is as follows:

**Card A** is filled in by a police officer (or other officers) during intervention. Such person is obliged to submit the card within 7 days to the President of the Interdisciplinary Team. At the same time, the victim is given **Card B**, containing important information for persons affected by violence, e.g. addresses of support institutions in a given area. The Interdisciplinary Team operates at the local self-governments and can form working groups.

Within 3 days, the President of the Interdisciplinary Team appoints a Working Group, sets the dates of meetings with the victim of violence and the abuser.

**Card C / D** is filled in by the Working Group, which assesses the situation and develops an individual help plan for the victim and witnesses of violence, e.g. children (Card C), as well as a plan of actions to be taken against the perpetrator (Card D).

The Working Group is composed of representatives of services and specialists working with families, usually a social worker, a police community support officer, a school counselor (if there are school children in the family), as well as psychologists or therapists working with people affected by violence or using violence, a healthcare worker, a court officer, a family assistant or other specialist if required. The representatives of the Working Group meet both with the victim, as well as with the abuser and in cooperation with the family, they work on planning and implementation of appropriate help, as well as on monitoring such support. The main goal of such procedure is to provide support to victims of domestic violence and restore normal relations within families affected by violence.

The basic aim of interventions in cases of domestic violence is to ensure protection and safety for the victims and to detain the perpetrators if necessary.

Corrective and educative actions are also taken against the perpetrators of domestic violence, aimed at changing the behaviour and attitude of such abusers in order to prevent future acts of violence.

Those are programs carried out according to the Duluth Model, aggression replacement trainings, programs for alcohol and drug addicts, as well as own programs. Such programs are implemented for example through workshops, exercises, lectures, discussions, visualisations, drama therapy, role playing, assertiveness training, brainstorming, psychoeducation activities, screening of education films, meetings with law enforcement officers, self-diagnosis based on psychological tests, case studies, relaxation, personality diagnosis, family counseling, elements of individual psychotherapy and activation methods.

The program lasts for 1-12 months. The perpetrators participate in such program at their own will or when persuaded by their partners or therapists and some of the abusers participate in the programs because of a court order or imprisonment for family abuse. Perpetrators of family violence are often obliged to do community work and attend correction and education programs at the same time. A positive consequence of systemic solutions aimed at perpetrators is the fact that during the last 6 years, the number of persons participating in correction and education programs increased almost thrice. It is worth mentioning that over 80% of the perpetrators complete such programs (figure 2).

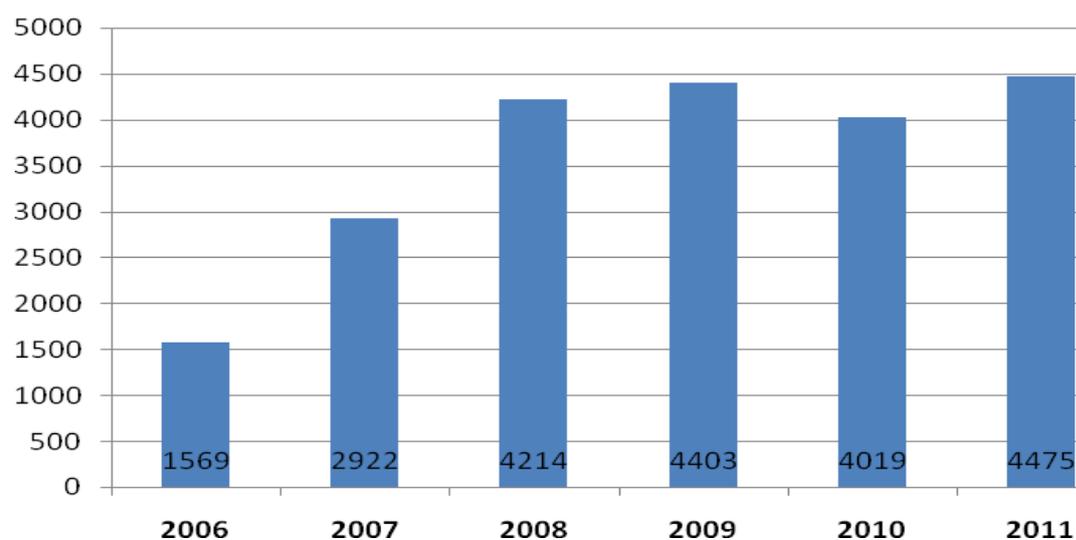


Figure 2. Number of perpetrators participating in correction and education programs.

### **Educating the society and professionals**

As part of preventive actions, information and education activities are initiated both on national and local levels in order to change the social attitude towards violence and raise the level of sensitivity to violence.

Such actions are carried out through social campaigns which:

- deal with popular myths and stereotypes in support of domestic violence,
- address the generally accepted abusive behaviour of the strongest family members,
- promote efficient methods of preventing violence and limitation of violence shown in mass media.

There are annual campaigns in the media concerning various aspects of domestic violence. For example, the 2010 campaign entitled: *Know your rights – walk out of the shadow. Let us help yourself*, was targeted to the whole society, and especially to the victims.

The goal of the campaign was to propagate information on the rights of people affected by offences, as well as to draw the attention of some professionals, such as judges, attorneys, court officers, police officers and employees of NGOs to the needs of the victims.

As part of such campaign, the national TV stations broadcast spots on the rights of offence victims.

The campaign spread through billboards, press, radio and the Internet. Some of the spots were devoted to violence against women and children. The spots included a reference to the website [www.pokrzywdzeni.gov.pl](http://www.pokrzywdzeni.gov.pl).

- A Charter of Rights of Persons Affected by Domestic Violence was developed and distributed in common courts, police stations, Support Centres as a guide for persons affected by family abuse. Such charter contains a list of basic rights of such persons, contact numbers of the police, National Emergency Service for Victims of Violence – a toll-free line, the so called „Blue Line”, as well as a list of support centres together with their address details.

Under preventive actions – an education strategy of the Program, the curriculum of general school education has been supplemented with information on risks connected with domestic violence, promoting positive relations in families.

The program basis takes into consideration relevant information concerning combating family abuse on each education level.

The children leaving kindergartens and starting primary schools are taught to react in situations of violence, know where to seek help and how to ask for help. The problem of combating family violence is contained in social education at the first stage of education, i.e. integrated early

school education (years 1-3 of primary schools). Such content is expanded with each following education stage.

In order to educate professionals, contents concerning causes and effects of violence, identification and assessment of incidents of family abuse, as well as cooperation under a local system of combating domestic violence have been introduced to the professional education programs (for persons dealing with domestic violence). Beata Zięba (2008, p. 24) stresses the fact that „in order to make changes, teachers, tutors and social workers must provide effective counseling and have both psychological, as well as psychotherapeutic competences”. The education strategy also covers development of programs and provision of training courses for teachers, school counselors and psychologists in such respect. Activities related to promotion of the education program entitled School for Parents and Teachers are also worth mentioning here. The program has been implemented throughout Poland through a network of 53 provincial coordinators/educators and over 600 executors.

Individual meetings under the program raise the issues of setting one's goals in upbringing, understanding of the world of one's own feelings and feelings of children, learning to talk about feelings, ability to determine clear limits and requirements, encouraging children to cooperate, solving conflicts together with children, seeking solutions better than punishment, teaching methods of self-discipline, supporting children's independence, releasing them from destructive roles and improving one's level of self-confidence and ability to make reasonable decisions.

The participants of the trainings are provided with teaching materials.

For teachers and parents, there is a handbook entitled “How to love and make demands”. This publication contains the most important guidelines, suggested reactions, auto-reflecting exercises concerning: determining limits in relations with a child, encouraging children to cooperate and work independently, methods of discipline, praising and other positive attitudes. The handbook is available on the Internet site.

Education activities are also directed to:

- representatives of health care, dealing with diagnosing abused children, medical, psychological and legal aspects of violence against children and intervention in cases of domestic violence
- persons providing legal counseling to victims of violence, describing e.g. nature and cycle of violence in families, methods of approaching a specific category of clients, i.e. persons affected by violence, as well as aspects related to the use of law in helping domestic violence victims.

Such activities also include organisation of internship for students and university graduates preparing for work in the sector of combating domestic violence and training in work in interdisciplinary teams for combating domestic violence, as well as police and other intervention services.

### **Summary and conclusions**

Systemic solutions with regard to domestic violence are going in the right direction.

The presented statistical data show that the social attitude to stereotypes has been gradually changing and the number of persons supporting corporal punishment in upbringing is declining. Until 2006, there had been a clearly growing number of domestic violence victims and since the implementation of coordinated actions (under the combating program), there has been a decreasing tendency. The number of perpetrators covered by corrective actions is on the rise.

The implemented education strategies affect the perception of the problem and the improved social awareness, especially among people exposed to violence, is an important element of violence prevention.

Providing the victims of violence and perpetrators with complex help and support is another foundation of the program aimed at restoring normal relations in their families.

Eventually, increasing competences of relevant public servants is the last element of the program that should ensure provision of effective help.

On the basis of the reports on implementation of the program, as well as the results of the conducted studies, changes have been introduced to the program in order to increase efficiency and

reduce the scale of the problem. The most important thing is to improve the social recognition of the discussed problem, deal with myths and stereotypes, as well as to change social attitude towards violence. However, it is a long and tedious process requiring work on numerous levels. Using violence against other, often very close persons, children, partners, older parents, is often a result of experiencing violence in one's childhood, therefore such behaviour patterns cannot be eliminated in the span of one generation only.

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# THE NATURE AND PREVALENCE OF VIOLENCE AGAINST WOMEN IN NIGERIA

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## Abstract:

This paper examines the struggle for gender equality in serves Nigeria. It observes that despite Nigeria's ratification of virtually all international instruments on protection and promotion of gender rights and equality, she has failed to domesticate most of them. Consequently, this has slowed down the pace of women emancipation in Nigeria; it has also denied women right s activists in Nigeria a wider and stronger platform to agitate for the enforcement of women's right. This paper further highlights and examines inter-alia, the galaxies of gender discriminatory laws that still exist in the pages of Nigerian statue in Nigeria. The paper also observes that the gender inequalities in the system have occasioned an intense marginalization and subjugation of Nigerian women to the background, in virtually every sphere of life, the paper recommends new strategies to be adopted by gender right activist in combating these institutionalized discriminations. The strategic include, an urgent review of all gender discriminatory laws in Nigeria, sensitization of Nigeria women to their legal right through intensified aggressive advocacy and enlightenment, establishment of more gender violation monitoring agencies in Nigeria. The sensitization of Nigeria law enforcement agent and judges on the need for a stricter enforcement of women's right's, immediate abolition by the Nigeria government of all harmful culture practices that impede women's right's, an urgent domestication of all internationals treaties, Nigeria has ratified, and enactment of more specific gender friendly based legislations. Finally, a case is made for more appointment of women to hold political offices. The paper further researches should be channeled towards discovering the reason for the high level of complacency of Nigerian women to these persistent flagrant violations of their rights.

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**Key Words:** Violence agains women, Nigeria

## Introduction

Gender based discrimination is all pervasive global problem which has occasioned intense gender inequality in many countries of the world. It existed from the dawn of civilization and has continued over centuries. However it shows up in different forms and manifestation in different countries and cultures. An article 1 of the convention on the Elimination of All forms different countries and cultures. However it shows up in different forms and manifestation in different countries and cultures. Articles 1 of the convention on the Elimination of All forms of Discrimination Against Women (CEDAW) has defined the term "gender discrimination" as Any distinction, exclusion or restriction made on the basis of sex which has the effect or purpose of in pairing or nullifying the recognition, enjoyment or Exercise by women. Irrespective of their marital status, on a basis of equality of man and woman of human rights and fundamental freedoms in the political economic, social, cultural, civil or any other field.

Gender discrimination, has created wide gabder gaps in many countries of the world, with very devastating social, economic and health consequences on the members of the female gender, who have been intensely marginalized and subjugated to the background. This discrimination not breeds feminized poverty, but in recent times also exacerbates the feminization of HIV epidemic, as there is now strong linkage between gender discrimination and high susceptibility of women to HIV/AIDS epidemics.

The world, for the past few decades has witnessed a resurgent interest in feminist jurisprudence. This interest has culminated in the emergence of numerous global strategies geared towards women empowerment and emancipation. Examples of such strategies are; The Strategies

Vienna Declaration Programme and Action; Nairobi Forward – looking Strategies for the Advancement of Women the ICPD Programme of Action; the Beijing Conference etc. This global feminist interest has also given birth to a catalogue of international and national instruments aimed at protecting and promoting the rights of women. The instruments in question include; Convention on the Elimination of All Forms of Discrimination Against Women (1979), Declaration on the Protection of Women and Children in Emergency and Armed Conflict (1974); Optional Protocol to the Convention on the Elimination of Discrimination Against Women (2000); African Charter on Human and Peoples Rights (1986) etc.

These legal instruments unanimously affirm the fact that all human beings are born free and equal in dignity and rights without any distinction of any kind, including distinction as to sex. They recognize the fact that discrimination against women is incompatible with human dignity and with the welfare of the family and of the society, prevents women's participation on equal terms with men, in the political social, economic and cultural life of their countries and is an obstacle to the full development of the potentialities of women in the service of their countries and of humanity<sup>3</sup>.

The CEDAW for instance, in Article 2, inter-alia, urged state parties to undertake<sup>4</sup>:

- a. To embody the principles of the equality of men and women in their national constitutions;
- b. To adopt appropriate legislative and other measures, including sanctions where appropriate, prohibiting all discriminations against women;
- c. To establish legal protection of the rights of women on equal basis with men and to ensure through competent national tribunal and other public institutions, the effective protection of women against any act of discrimination.
- d. To refrain from engaging in any act or practice of discriminating against women and to ensure the public authorities shall act in conformity with this obligation.
- e. To take all appropriate measures to eliminate discriminations against women by any person, organization or enterprise.
- f. To take all the appropriate measures to eliminate discriminations against women by any person, organization or enterprise.
- g. To repeal all national provisions which constitute discrimination against women.

Globally speaking, significant strides have been made by many countries towards advancing the cause of gender equality, in line with CEDWA demand. The responses from individual government have been encouraging<sup>5</sup>. The ranges of actions taken include integrating gender equality concerns into national programmes and plan of action, including the creation of national structures to enhance women participation in development efforts. Many countries have also taken giant strides towards improving women access to education, employment and productive resources; all these efforts target the hitherto observed wide yearning gender gaps in many countries of the world. A current global gender gap report from World Economic Forum<sup>6</sup>, reveals that Nordic countries; Ireland, Norway, Finland and Sweden rank 1<sup>st</sup> to 4<sup>th</sup> in gender gap closing rating by the forum. These Nordic countries have continued to demonstrate the greatest equality between men and women. The United States ranks 19, it has succeeded in closing its gender gap rising from 31<sup>st</sup> position to 19<sup>th</sup> position; while France has sunk to 46<sup>th</sup> ranking; Switzerland 10<sup>th</sup>, Spain 11<sup>th</sup>, Germany 13<sup>th</sup> and UK 15<sup>th</sup>. Thus, Klaus Schwab, Founder and Executive of the World Economic Forum have observed that Nordic countries to lead the way in eliminating gender inequality. Gender Institutions and Development (GID0) also reveal that persistent discrimination and repression are most marked in Asia, Sub-Saharan Africa, the Middle East and North Africa.

Nigeria, which is the focus of this paper, was a signatory to CEDWA. She ratified this all important legislation on women emancipation and empowerment over 20 years ago. The paper therefore aims at examining the extent Nigeria has complied with the above demands CEDWA made of state parties. It shall also examine the actual situation of women in Nigeria today, after many years CEDWA ratification.

## **The Struggle For Gender Equality In Nigeria**

### The actual situation

Nigeria, after several decades of ratification of CEDWA, has failed to domesticate the international instrument as part of her municipal law. This regrettably has seriously slowed down the pace of women emancipation in Nigeria. Consequently, women who constitute half the total Nigerian population, still continue to suffer intense marginalization and relegation to the background. They are discriminated against in virtually all spheres of life in Nigeria, e.g. in the home front, in educational institutions, in working place, and in political appointments. The worrisome aspect of this discrimination is that it has persisted for so long that it is now so deeply rooted and institutionalized in Nigeria system that uprooting same would definitely pose an uphill task. Several factors have been advanced for these intense discriminations and marginalization. The factors include Nigerian Patriarchal system that is embedded in our cultural system. The Nigerian culture perceives and treats men as superior to women, this is well manifested in the “son preference syndrome” that is prevalent in Nigeria. Male Children in Nigeria often enjoy preferential treatment like exemption from house chores; they enjoy unlimited right to education, while the girls are trafficked by some greedy parents for economic gains in the home. The culture equally disinherits wives and daughters. In the home front, women are subjected to all sorts of inhuman and degrading treatment. Our culture strictly restricts women to the stereotyped role of home keeping, child bearing and childrearing. She is to be seen not heard. Olateru – Olagbegi and Afolabi have rightly observed that this subordinate of women by our culture knows no boundaries or barriers, and is not dependent on the “social, educational or economic status of the Nigerian women. Consequently, one finds that uneducated and poor women in the rural community suffer as much subordinate marginalization of women in Nigeria as observed earlier is its deep rooted nature in the Nigerian system. According to Olateru – Olagbegi and Afolabi.

*Some of these beliefs have been practiced for so long that they are embedded in the societal perception almost as a legal norm. Such that the laws of the land and international instruments which protect the rights of women, are flagrantly infringed in the guise of these age long cultural and/or religious belief.*

Women in Nigeria therefore suffer this discrimination from birth (maiden homes) to death (marital home). The paper shall presently identify and examine various gender discriminations in Nigeria cultural, legal, political and economic systems.

Gender inequality in the Nigerian cultural system.

It is believed in many quarters that Nigerian’s continued enforcement of Customary and Sharia laws have succeeded in fueling the relegation of women to the background. It is widely believed that most Customary laws in Nigeria, especially Igbo Customary law is “gender discriminatory and very illiberal towards women rights”. Similarly, Sharia law, which is accorded the position of Customary law also, discriminates against women in many respects.

This paper shall examine gender discrimination under Nigerian Customary and Sharia laws.

### **Gender Discrimination Under Nigerian Customary Laws.**

Nigeria is made up many ethnic groups and each ethnic group, operates a peculiar customary law. Most of Nigerian customary laws, especially Igbo customary law are fraught with a legion of gender discriminatory practices. Igbo customary law which operates in South East Nigeria for instance, permits forced/child marriage; wife/girl child disinheritance; polygamy; denies women custodial and maintenance rights, encourages harmful widowhood practices and female genital mutilation (Violence). All these cultural practices have one way or the other negatively impacted and showed down the pace of women emancipation in Nigeria.

Firstly, a girl-child who is compulsorily married off at the age of 10 years by her parents for economics rewards to a man old enough to be her father, is not only emotionally and medically unprepared for marriage but is also economically ill-prepared forit, and often time such a child is permanently denied the right to education. Such a child-wife also lacks a say in the home and is totally and economically dependent on her husband in all respect.

Secondly, child/forced marriages expose the girl-child to medical hazards associated with early child birth, such as Vesico Fistula and Recto Vaginal Fistula, (conditions of uncontrollable passage if urine).

Thirdly, the payment and refund of bride-price on the commencement of a customary law marriage and its dissolution respectively and wife inheritance by the brother of a widow's late husband, give the unpalatable impression that women are chattels that could be bought with money and such payments refunded in the event of divorce, no matter the length or duration of such a marriage. This is inequitable. Again, wife inheritance equally gives the impression that women under Igbo customary law can be inheritance like property.

Fourthly, in the event of the death of a man, his widow is subjected to a legion of harmful widowhood practices which entails all manner of degrading treatment and dehumanizing acts. For instance, where she is being suspected by her husband's relatives of complicity in her ex spouse's death, she is made to drink the water that was use to bathe the corpse of her deceased husband, in order to be absolved. If she does not die after drinking the water, her innocence is established. She is equally forced to shave her hair, sleep beside her late husband corpse. The widow's movement is also strictly restricted throughout the mourning period; these discriminatory cultural practices no doubt render her economically incapacitated to fend for her children. The discriminatory aspect of this practice is that men who lose their wives under Igbo customary law do not undergo these degrading dehumanizing and traumatic practices.

Fifthly, most customary laws in Nigeria is patriarchal in nature and therefore does not recognize daughter/wife inheritance of father/husband's landed property. Land devolves on only the male lineage thereby disempowering women economically. This has been the lot of women in Nigeria, especially in the South-East, until the Nigerian Court of Appeal in the case of *Mojekwu. V. Ejikeme* struck down this discriminatory system of inheritance, which disinherited the daughters of a deceased man from inheriting their father's landed property in preference of their uncle. The Nigeria Court of Appeal also held that such a custom was contrary to public policy and repugnant to natural justice equity and good conscience. The learned judge relied heavily on CEDAW as a touchstone in delivering this landmark decision.

Sixthly, most Nigerian customary laws encourage wife chastisement, and a great majority of Nigerian women have been socialized into accepting their inferior status and treatment. Consequently, they perceive domestic as normal. In any case most women have no choice as they are economically dependent on men and could be thrown out if they resist any form of domestic violence. They are therefore subdued into suffering in silence. Furthermore, the girl-child is subjected to female genital mutilation by custom in order to curb her sexual appetite and forestall any wayward tendencies in her. This practice, which is accompanied with excruciating pain, persist in most cultures today, despite the fact that medical evidence has debunked the popularly held view that circumcised female are less promiscuous than uncircumcised females. Worse still, the heinous operation is carried out in an extremely crude manner and in unhygienic surroundings. The traditional herbalist uses unsterilized instruments, and more often than not, all the patients use the same instruments, thereby fueling the quick spread of sexually transmitted diseases, including HIV/AIDS. Some women even bleed to death, in the course of circumcision.

Finally, in the event of dissolution of a customary marriage, women are denied custodial and maintenance rights, as the products of customary marriages in Nigeria belong exclusively to the men. Furthermore all Nigerian customary laws do not recognize the payment of maintenance to an ex-wife; in fact, she is expected by custom, to refund the bride price that was paid to her people on the commencement of the defunct marriage. This is regrettably commercializes transaction transitions. Thus, a woman leaves a defunct customary marriage empty-handedly.

## Sharia Law

This law operates exclusively in the northern parts of Nigeria, and fraught with a lot of discrimination against women. Firstly, the Sharia law devalues a woman's testimony or evidence, and places it at par with the testimony of a minor. Secondly, the punishment meted out by the Sharia Courts in adultery cases discriminates against. In this case, Safiya was sentenced to death Husseni, is a good example of such in Sokoto State, Nigeria for committing adultery. (The Judgment was however quashed on appeal). The shocking aspect of the judgment was that no co-adulterer was tried with her. This gave the wrong impression that adultery could be committed by only one person. In practice, even where a woman names a co-adulterer, under the Sharia Law, such person named would only be required to swear to an oath of innocence.

Once he swears this oath he is let off the hook, and goes scot free, leaving only the woman to face the music. Thus, the agitating question, why is this oath administered only on men? Besides, punishment by stoning women to death for adultery, and 100 lashes of cane for fornication under the Sharia law is a gendered violence as the excessive punishment more often than not targets only women.

Unfortunately, these discriminatory cultural practices have continued unabated despite the fact that Article ii paragraph F of CEDWA enjoins state parties to take all appropriate measures, including legislation, to modify or abolish existing laws, regulations, customs and practices which constitute discrimination against women.

## Gender Inequality In The Legal System

The reality on the ground is that the Nigerian law which should be looked upon as the last hope of the down trodden, has turned out to be the very instrument of gender discrimination. The language of the Nigerian Constitution, for example, is regrettably masculine as the word "He is consistently used in the exclusion of the word "She" where both genders has been refereed to. Therefore, despite Nigeria's ratification of CEDAW, galaxies of gender discriminatory laws still exist in the pages of Nigerian statutory books. The paper shall presently examine a few of such discriminatory laws.

### (a). section 6 of Nigerian criminal code (legalization of marital rape)

This section encourages gendered violence by legalization spousal rape. Section 6 provides: ;unlawful carnal knowledge means carnal connection which takes place otherwise than between husband and wife". The legal implication of this section is that, under no circumstances can a man be found guilty of raping his wife. This discriminatory section which is still part- and- parcel of our law was unfortunately the 17<sup>th</sup> century view of Sir Matthew Hale of England. The United Nations High Commissioner for Human Rights has since published a Declaration on the Elimination of violence against women and expressly stated that marital rape is human rights violence. The global trend now is to the effect that about 104 countries of the world now prosecute spousal rape. Countries that have criminalized marital rape include Turkey, Mauritius and Thailand.

### (b). section 353 and 360 of the criminal code

These sections have been roundly criticized for creating a disparity in the punishment applicable in cases of unlawful and indecent assaults respectively. The two sections provide lesser punishment where the victim of the assault is a female. For example, unlawful assault on females attracts a punishment of 3 years imprisonment. Furthermore, indecent a assault on males is a felony, which attracts 3 years imprisonment and 2 years if the victim is a woman (a misdemeanor). The question may be asked, why this discrimination?

### (c) Legalization of wife chastisement (section 55 of the panel code)

This section creates a fertile ground for violence against women. The section provides:

*Nothing is an offence which dose not amount to infliction of grievous hurt upon any person which is done by a husband for the purpose of correcting his wife, such husband or wife being subject to native law or custom in which such correction is recognized as lawful.*

This section regrettably was given a judicial approval, in a very retrogressive of the Nigerian Court of Appeal, in *Akinbuwa v Akinbuwa*. The judgment, least to say, is outrageous and out of tune with global trend towards gender equality. Besides, the section in the question fails to confer the corresponding right to the wife to chastise the husband. The irritating aspect of this gendered violence is that most women have grown with this and have accepted it as normal. They are therefore very complacent about enforcing their rights, besides Nigerian police fail to recognize wife chastisement as human rights violation; they often wave it aside as “family issue: which should be handled privately.

(d) Sections 55, 56, 57 of Nigerian labour act

These sections in a nutshell empowered the minister of labour to make regulations that prohibited women from undertaking certain jobs. The sections are discriminatory to the extent that they limit women’s access to work yet the international equal remuneration convention of 1951 calls for equal job opportunities for men and women.

(e) Regulations 121 – 127 Of the police act

The Nigerian police act is yet another discriminatory Act as Regulations 121 – 127 discriminate against women on the basis of their gender. Regulations 124 for instance, mandatorily demand every police woman desirous of marrying, to first apply to the commissioner of police of the state she is serving, requesting a permission to marry. She is to also furnish her would-be spouse’s particulars. Permission would only be granted if the commissioner is satisfied that they would be spouse in a man of good character, and the police officer must have, in addition served, the police for a period not less than 3 year. Ironically no such requirement is imposed on her female counterpart who wishes to marry. Furthermore, regulation 127 provides that on married police women who become pregnant shall be discharged from the force. This regulation is clearly oppressive and discriminatory.

(f) Taxation law

The Nigerian Tax Law operates under the assumption that a man is the “bread winner” of the family and funds for many dependants, hence only married men enjoy taxation exemption, this law however fails to take cognizance of the fact that they are also single mothers with dependants and such ought’s to enjoy similar tax exemption. These unequal taxation offends article 7 of the high ICESCR and article 2 (1) of the CEDAW which guarantees equal pay for equal work as well as equal treatments for both sexes.

### **Political Marginalization Of Women In Nigeria**

Nigerian women have encountered numerous problems, why venturing into politics. They have experienced a large scale of discrimination from the men folks, both in voting for candidate, and in allocating of political offices. Contrary to article 3 CEDAW, they have denied equal opportunities with their main counterparts in the formulation of legal policy framework for the nation, despite the fact that they constitute half of the Nigerian population.

Afolabi – Akiyode A, has rightly observed that the exclusion of women in governance and making decision in Nigeria, knows no bounds. She has further stated:

Women, have been relegated to the background issues of development... the reality of our politics and political arrangement in Nigeria has excluded much of females legitimacy resulting in women political powerlessness and low participation in power and decision making. It is an entronement of male gender over the gender based on equality of opportunities for both female and male.

The former Nigerian president, Olusegun Obasanjo, in line with his political campaign promises, ensure that 50 percent of appointment to public offices at federal levels were reserved for women. Much it is considered that was a step in a right direction, the appointment however still falls short of global expectation, and it is still a far cry by 35 percent recommendation in the Beijing declaration.

Nigerian women have however continued to gain in the Nigerian 2007 April election, where a total of 93 women emerged winners. 6 deputy governors, 9 senators, 27 national representatives, and

52 in various state houses of assembly. There were also significant 2007 election in question also saw Nigerian resaved it first speaker in the house honorable Etteh Patricia Olubunmi. The late president yar'Adua led administration also placed 7 women into exact offices. Much as it is percent Beijing conference.

### **Gender Inequality In Workplace**

One of the most striking global phenomena of recent time has been the increasing proportion of woman in the labour for, thereby enabling woman in many regions to use their potentials more in the labour market and achieve economic independence. The right of women to work, without any form of discrimination, is recognized and guaranteed by many international and national instruments, like Article 2 of CEDAW, section 18 (3) African charter on Human and people Right; Article 7 of ICESCR, ILO Equal Remuneration convention of 1951 Discrimination convention (Employment and occupation )1958 (NO111), Workers, with Family Responsibilities convention 1981 (No 156) and maternity protection convention , 2000 (No 183), and section 42 of the Nigerian 1999 constitution. These legislations demand the elimination of gender inequality in the work place, in the choice of profession, in employment opportunity, and in the right to promotion, in equal remuneration, and job security. Despite these legislations, for decades, gender-based discriminations in the Nigerian labour market persist practically everywhere, and at all levels. The higher the position in an organization or company the more glaring is the gender gap.

The reality in Nigerian today is that legal, cultural and social obstacle still impedes the right of woman to work.

Prior to now, the traditional and social practice as well as role stereotypes confined women to the home as house wives and children bearers, hence, they were largely economically dependent on their husband, and by implication subservient to them. Currently, the Nigerian banking sector, does not hesitate in handing out sack letters to their married female staff that get pregnant in quick succession. Again, most lucrative and sensitive posts in virtually all establishments are often put beyond and reach of woman and exclusively reserved for men. While the few women who lucky to acquire jobs constantly victims of sexual harassment, and failure on their part to succumb to these inordinate sexual demands from their bosses, often earn them in sack letter. Furthermore, as a result of prevalent "son preference" syndrome in Nigerian, the girl-child often falls victim of child trafficking (for cheap labour and prostitution) by her parents, for financial gains while the boys are kept back. These is no gainsaying the fact that economic emancipation of women in crucial in the struggle for gender equality as an economically dependent house wife or daughter lacks the resources that will enable her to agitate for rights. Internationally labour organization (ILO) Equal remuneration convention of 1951 calls on government to promote and ensure "the application of the principle of equal remuneration for the men and women workers for work of equal value". So far, 161 countries, including Nigerian have ratified this convention. However there is needed to improve on its enforcement. Recently on 21<sup>st</sup> September 2010, The European commission formulated its new strategy towards gender equality targeting increasing women's presence at the labour market, and reducing the gap of equal pay.

### **Way Forward**

From the foregoing discourse, it is quite glaring that while significant strides have been made in many countries of the world to bridges gender gaps, and advance gender equality, in compliance with the demands of international instruments on woman's right, most countries like Nigerian are still lagging behind.

The need to combat all gender inequalities in every country of the world is imperative in view of the numerous devastating consequences gender discrimination has occasioned on women. For instance, 1993 world development report estimated that world-wide, "violence against women is amore serious cause of death and incapacity among women of reproductive age than cancer, and a greater cause of ill-health than traffic accidents and malaria combined". Domestic violence also deprives women of bodily integrity by "eliminating their ability not to consent sex, negotiate safer sex and determine the number and spacing of their children"<sup>21</sup>. Furthermore, the threat of eviction and abandonment compels women against their wish to remain in abusive relationships. More recently,

international attention has focused on the driving force of structural inequalities that infringe upon women's social and economic right making them more vulnerable to HIV/AIDS. Therefore it is evident that gender discrimination and inequality, as observed earlier have not only occasioned feminized poverty but have also ushered in feminization of the HIV epidemic. In January 2002, U.N. Secretary general Kofi Annan<sup>22</sup>, announced that for the first time, women represented half of positive individuals world-wide and more than half in sub-Saharan African. He attributed this awesome development to "evasive gender inequality ". In fact, there is now an urgent call to adopt Human right and gender based frameworks for both international discourse and the global responses to HIV/AIDS.

From the foregoing it is quite glaring that a change is imminent in Nigeria. The UN millennium goal has re-affirmed gender equality and women empowerment as development goals in themselves. It has underlined their importance as a means to achieve all of other MDGS<sup>23</sup>. The next question is, where do we begin and how do we start combating this gendered inequality in Nigeria, and indeed in the whole world? It is believed that reducing gender disparities may not be an easy task; however it is feasible with coherent, sensitive and practical strategies. This paper therefore proposes the following recommendations as a way forward.

### **Recommendations**

#### **1. Domestication of CEDAW**

Nigerian government should, as a matter of urgency, domesticate CEDAW and all other international instruments on woman's rights which she has ratified. The non-discriminatory provision of the Nigerian 1999 Constitution is inadequate. The Domestication of these international instruments is imperative in view of the fact that Section 12 of the Nigerian constitution has expressly rendered these international instruments non-justifiable, except they are domesticated as part of Nigerian municipal law. The failure of the Nigerian government to domesticate such an all important legislation as CEDAW, till date, is regrettable and shows lack of serious commitment on the part of the Nigerian government to eliminate gender inequality in the system. Domestication of CEDAW and all other international instruments on gender rights will afford women activists in Nigeria stronger and wider platform to agitate for women's rights.

#### **2. An urgent review of all gender discriminatory laws in Nigeria**

Nigerian government should endeavour to review all gender discriminatory laws that still exist in the pages of our statute books in order to demonstrate her total commitment to eradicate gender inequality in Nigeria. This Law should be used as an instrument of social change and social justice, and not an instrument of perpetration of injustice. Recently, the Nigeria Minister for Health disclose that the Nigerian President, Goodluck Jonathan, has in a milestone decision approved the admittance of female cadet as regular combatant, prior to now all female intakes into the Nigerian armed forces had been limited to the non combatant troops thereby limiting their career plans irrespective of their competence and skills. This is certainly of the gender should be given equal opportunity to excel in his or her chosen field.

#### **3. Uprooting of all obnoxious practices that impede the rights of women**

The Nigerian government should collaborate with traditional rulers in Nigeria and other stakeholders to ensure that all harmful and traditional practices which target only women, are uprooted. This could be advanced through dialoguing with the traditional rulers who are the custodians of our culture; they should be made to outlaw all oppressive customary practices in their domain.

#### **4. Economic empowerment of women**

It is high time Nigerian government increased women's presence at the labour market. She should embark on initiatives to get more women in to top jobs in economic decision making. Furthermore, female entrepreneurship and self employment should be promoted by making loans on lenient terms available to woman is powerless and voiceless, and cannot assert her rights, not to talk of seeking legal redress in courts.

#### **5. Educational empowerment of women**

Compulsory girl-child education is a useful strategy that should be adopted to bridge gender gaps in Nigeria. Present Nigerian laws against trafficking of young girls as domestic servants

and prostitute should be strictly enforced. Education of a girl-child, in the long run, would equip her future participation in key decision making in the government and also enable her influence gender friendly policies.

6. More political appointment for women

Nigerian government is called upon to beef her political appointive positions for women. The present appointments still fall short of the international expectation, that 35 per cent of all political appointment should be reserved for women. The need for integration of women into the mainstream of decision making in government can never be over-emphasized.

7. Overhauling of social institutions

It is evident that inequalities are often rooted in social institutions. Nigerian government should therefore endeavour to overhaul and reform all institutional frameworks that limit the development of women's potentials and skills. A leaf should be borrowed from her brother country Tunisia, where such efforts are paying-off. In Tunisia today, 30 – 50% of judges, physicians and school teachers are now women. Similarly in India, women have risen to the highest levels of politics and business in recent times.

8. Engaging men in all reform efforts

It is recommended that the fight against gender discrimination needs co-opt men and boys. Hitherto, there has been heavy focus on women's needs, while overlooking the fact that societies based persistent discrimination is highly advantageous to men and therefore they may be unwilling to make sacrifices in favour of women. It is therefore recommended that where necessary, men should be involved in the reform process and financial compensation made available to them in deserving cases; like in reforming discriminatory inheritance laws. This type of reform is now being carried out in Kenya.

9. Enactment of gender based specific law

It is apparent from this discourse that there is every need to enact gender specific laws to curb gender violence. Our present laws on gender issues have been criticized as grossly inadequate. For instance, the manner in which rape trials are conducted in Nigeria, coupled with the high degree of quantum of evidence required to secure convictions, exposes the already traumatized women/girls sexual victims to indignity, making it men's trial but a women's tribulation. Furthermore, the corroborative requirement of Nigerian Evidence Law for Rape has further heightened the problem of securing convictions for rape. A Gender-based specific law on rampant gendered violence in Nigeria is long overdue.

10. Re-orientation of the Nigerian police.

Nigerian law enforcement agents should be sensitized on human rights implications of gendered violence and discrimination. The government should make them more sensitive to gender rights violation complaints. They should stop trivializing such matters as "family issues". More workshops should be organized for them, in order to address the issue of observed yearning gaps in Nigerian law enforcement system, in relation to gender discrimination.

11. More aggressive advocacy by gender rights activist, lawyers and judges.

It has been observed that most Nigerian women are very complacent on this issue of gender rights violation. They have been socialized from infancy into believing that it is cultural, and therefore normal. There is therefore, every need to extend advocacy and enlightenment programmes on gender rights violation to grassroots. Rural women need to be sensitized on their right and the redress available to them in the law courts.

12. The role of the media

The government media should devise more effective awareness raising programmes especially in the grassroots. The media should henceforth desist from portraying women in a negative and degrading manner as "sex objects".

13. Establishment of more internet portals to foster dialogue for the promotion of gender equality.

This portal will create an avenue of reaching out to the public or the internet, by fostering a dialogue on the importance of gender equality. Such websites, as Wiki gender, will provide an open forum to share and exchange information on the situation of women and will also

encourage frank discussions on the factors that impede women's social, political and economic empowerment. It is believed that such forum will reveal people's personal experiences on gender rights violation, and will definitely help to deal with "stubborn social attitudes and mind sets, while enabling policy – makers to tailor their strategies to the specific situation in a country or community".

#### 14. Establishment of more gender violation monitoring agencies

It is advocated that more gender monitoring agencies be established by the Nigerian Government, especially at the grassroots level for an effective monitoring and reporting of gender rights violations against the female genders in Nigeria.

### Conclusion

From the foregoing discourse, it is quite glaring equality implies equal rights, opportunities and treatment for women and men, girls and boys in all spheres of life. It equally implies that both men and women are free to develop their personal abilities and make choices without the limitations set by stereotypes or prejudices about gender roles on the characteristics of women and men. It is heart warming that Millennium 2000 Declaration, has reaffirmed gender equality and women empowerment as development goals themselves and has underlined the importance of women empowerment as a means of achieving all other (MDGS). THE Millennium Declaration also calls on States to "promote gender equality and the empowerment of women as effective way to combat poverty, hunger and disease and to stimulate development that is truly sustainable". Furthermore, Kofi Annan, has in 2006, warned that it is impossible to realize our goals while discriminating against half of the human race.

Nigerian is therefore called upon to be part off global trend towards equality. She should demonstrate more sensitivity towards the plight of Nigerian women by implementing most, if not all, the recommendations in this paper. Further researches should however be channeled exhibit high level of complacency even in the face of flagrant and persistent violation of their constitutionally guaranteed rights.

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## ARTICLE TOPIC SOCIOECONOMIC STATUS OF WOMEN AND IMMUNIZATION STATUS OF UNDER FIVE CHILDREN IN NORTHERN NIGERIA- A CASE STUDY OF POLIOMYELITIS IN KADUNA STATE

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### Abstract:

Childhood illness plays an important role in the adverse health status of children under five years of age in northern Nigeria. Since around 1989, concerted efforts have been made to reduce the problem of infant morbidity and mortality in Nigeria, mainly through routine immunization and supplemental campaigns (door to door), and in spite of a 99% reduction in poliomyelitis prevalence worldwide, Nigeria still accounts for the highest prevalence of circulating wild polio virus in the world and the country is among the ten countries in the world with vaccine coverage below 50 percent. The respondents for the study were selected purposively using multi stage sampling procedure, by stratification. Data were collected from them using a structured interviewer-administered questionnaire that had been translated into Hausa, the local language, and back translated to English before administration. Bivariate analysis of the data collected showed that ethnic group of mother was positively associated ( $p < .000$ ) with immunization status of the under fives, and so was the occupation of the mother ( $p < .000$ ), religion ( $p < .000$ ) and educational attainment of mother ( $p < .000$ ). Multivariate analysis (binary logistic regression) of the data however, showed that mothers' educational attainment may not significantly influence immunization status of the under fives, as much as household monthly income.

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**Key Words:** Socio-Economic Status, Poliomyelitis, Northern Nigeria

### Introduction

Worldwide, there are still 27 million children who do not receive routine immunization and as a result, vaccine –preventable diseases cause more than 2 million deaths and disability every year- Multiple Indicator Cluster Survey (MICS, 2007). A World Fit for Children goal is to ensure full immunization of children under one year of age at 90 percent nationally, with at least 80 percent coverage in every district or equivalent administrative unit.

According to UNICEF and WHO guidelines, a child should receive a BCG vaccination to protect against tuberculosis, three doses of DPT to protect against diphtheria, pertussis, and tetanus, three doses of oral polio vaccine (OPV), and a measles vaccination-all by the age of 12 months.

The MICS (2007) for Nigeria however shows that there are real disparities in coverage of all types or levels of vaccination along rural-urban and North-South partitions of the country and along levels of education and wealth status. The coverage is low in rural areas, in the North, among children with mothers with no education and among children in the poorest wealth quintiles.

Among identified childhood diseases, poliomyelitis has consistently proven to be a challenge to eradication programs. Control measures in Nigeria, through the National Programme on Immunization (NPI) have not been totally successful even though worldwide, there has been a 99% reduction in the prevalence of poliomyelitis. This is because immunization coverage in many parts of Nigeria is far from optimal and far from equitable (Antai, 2009). And Prata, et al (2012) also note that in northern Nigeria, cultural, religious, sociopolitical and other contextual factors severely constrain intervention options, such as immunization.

There were 118 reported cases of wild poliovirus in Nigeria in 2012 (WHO, 2012). Followed by Pakistan (57 cases) and Afghanistan (35 cases), and Nigeria still accounts for the highest

prevalence of circulating wild poliovirus in the world and the country is among ten countries in the world with vaccine coverage below 50% (Antai, 2009).

States in the north of the country are the main sources of polio infections elsewhere in Nigeria and in neighboring countries (UNICEF, 2012). In the early 2000s, wild poliovirus transmission was interrupted in most of Nigeria but continued in the north of the country, as a result of weak health system and distrust due to rumors about vaccine side-effects. Caregivers often lack understanding of polio and the necessity of multiple OPV doses, and fear that too many doses could be unsafe. In addition, many believe their children are not susceptible to polio and avoid OPV if they feel the risk of immunization is greater than the risk of the disease (UNICEF, 2012).

Despite its human and natural resources, Nigeria with a population of 162.5 million and GDP of \$235 billion (World Bank, 2012) is ranked among the poorest countries in the world; fifty five percent live below the extreme poverty line of US\$1 a day (World Bank, 2012). Less than one half of the population has access to safe water (43% in rural areas) and only 41% have access to adequate sanitation (32% in rural areas). Life expectancy at birth is 52 years. Overall, the adult literacy rate is 56 percent, however the rate for males (67%) is much higher than for females (47%). These facts adversely affect the survival of children and the reproductive health of women in general.

UNICEF's 2007 Multiple Indicator Cluster Survey (MICS) shows that polio immunization coverage for children in Nigeria is 28 percent.

Women's education has been reported as a key factor in reducing infant and child mortality and morbidity. The higher a woman's level of education, the more likely it is that she will marry later, play a greater role in decision making and exercise her reproductive rights. Her children will tend to be better nourished and enjoy better health (Hobcraft, et al 1984).

### **Main Text**

Immunization is one of the most successful and cost-effective public health interventions. In 2010, global efforts to immunize children with vaccines against life-threatening diseases set a record high, reaching 109 million children and averting more than two million deaths along with countless episodes of illness and disability annually (UNICEF, 2012). However, despite significant gains in recent years, millions of children are not immunized, exposing them to disabilities or premature death. Vaccines work by introducing into a person's immune system a harmless form of bacterium, toxin or virus that a healthy person's body recognizes as unusual and responds by devising a defense (immunity) against it.

Investing in the health of children and their mothers is not only a human rights imperative, it is a sound economic decision and one of the surest ways for a country to set its course towards a better future (UNICEF, 2008). Simple, reliable and affordable interventions with the potential to save and improve the lives of millions of children are readily available. The challenge, particularly in developing countries, has been how to ensure that these remedies reach the children and families who, so far, have been passed by. One of these interventions is immunization.

In Nigeria, inadequate health facilities, lack of transportation to institutional care, inability to pay for services and resistance among some populations to modern health care (such as immunization) are key factors behind the country's high rates of newborn and child mortality and morbidity (UNICEF, 2009). Cultural attitudes and practices that discriminate against women and girls contribute, inadvertently to child morbidity and mortality. While poor service delivery, parents who have low levels of education and lack of information about immunization are major reasons for low coverage among children (UNICEF 2012). Polio now is a virus of the poorest, making its final stand in the most forgotten places, among the most forgotten people.

Earlier, the Nigeria Demographic and Health Survey (NDHS 2003) noted that widespread inequities persist in immunization coverage to the disadvantage of children of parents in the lowest socio-economic quintile, parents with no education and parents in the rural areas, especially in the northern region of the country.

While the Nigeria Demographic and Health Survey (NDHS, 2008) points out that in Nigeria, children are considered fully vaccinated when they receive one dose of Bacille Calmette-Guerin (BCG) vaccine, three doses of diphtheria, pertussis and tetanus (DPT) vaccine, three doses of polio vaccine, and one dose of measles vaccine. Overall, the survey reported that 23 percent of children 12-

23 months have received all vaccinations at the time of the survey. The coverage for polio was 38% for the third dose.

Renne (2012) noted that in 2006, Nigeria had the greatest number of confirmed cases of polio worldwide (1143 cases) and the situation in Nigeria where there are persistent cases of polio suggests that some of the underlying political, social, and economic problems besetting the global polio public health campaign persist. Indeed, she further suggests, in 2011 presidential/gubernatorial elections and subsequent post-election violence, as well as ongoing conflict between government officials, state, federal military police, and members of a fundamentalist Islamist group in northeastern Nigeria, has hampered, but not stopped, polio eradication and broader immunization efforts.

Renne (2010) also noted that eradicating polio in Nigeria, that is breaking the chain of transmission of the poliomyelitis virus, as evidenced by a lack of new confirmed cases within a given time frame, and the subsequent certification of total absence of cases would be difficult under any circumstances, especially given Nigeria's teeming population (estimated currently at 162.5 million: World Bank, 2012) and a land mass of 923,768 square kilometers.

And earlier in her study in Zaria on polio, Renne (2006) noted that while some people believed that the polio vaccine was contaminated by anti-fertility substances, others questioned the focus on polio when measles and malaria were considered more harm. Some also distrusted claims about the safety of Western biomedicine. These concerns relate to questions about the appropriateness of vertical health interventions, where levels of routine immunization are low.

Alto (2006) in her study of polio immunization in Nigeria, also remarked that Muslim leaders believed that the vaccine contained contraceptive agents and other contaminants with which the Western world hoped to control population growth.

Additionally Nichter(1995:621) opined, that in regard to vaccinations in the third world, what is in a mother's education which predisposes her to have children vaccinated (for example, the content of her education, affiliation with modernity, social mobility) or the contexts in which her education does or does not have leverage.

While Babalola and Aina (2004) pointed out that inequitable access to routine immunization in Nigeria has been attributed to fear and confusion about the intent and purpose of immunization.

However these studies have been largely surveys carried out at the national level with strong epidemiological undertones or anthropological studies using qualitative methods.

Ransome-kuti (1986) noted that historically, before the arrival of pediatrics in Nigeria in 1952, children were given scant attention. The earliest health services were provided for sailors and slaves. He also pointed out that it is the uneducated woman (and they are in the vast majority) who bears the largest number of children and loses the most, who fails to understand simple concepts such as the meaning of the growth chart, and who performs worst of all in bringing her child for immunization even when the services are made available, affordable, and accessible and are efficiently run. She is subjected to enormous social and cultural constraints that prevent her from utilizing the services effectively and is also subjected to conflicting advice from ancient and modern health systems regarding the care of her child. He concluded that the father's role in health decisions is often dominant in most instances.

While Obadare (2005) writing on the polio controversy in northern Nigeria, as can be best understood after considering developments in the broader politico-religious contexts, both local and global. He locates the controversy as a whole against the background of the deepening interface between health and politics. He suggests that the crisis is best seen as emanating from a dearth of trust in social intercourse between ordinary citizens and the Nigerian state on one hand, and the same citizens and international health agencies and pharmaceutical companies on the other.

Giwa, et al (2012) who studied the seroprevalence of poliovirus among children in Zaria, found that polio antibody seropositivity was significantly associated with higher socioeconomic status and immunization was the single most important determinant of seropositivity to poliovirus serotypes. They felt that the low seropositivity found among children in Zaria LGA could be attributed to socio-cultural and religious beliefs, and fear of the health consequences of the OPV vaccine on children.

These foregoing studies conducted in northern Nigeria on poliomyelitis, show that it is still a childhood disorder plagued by overarching controversy mixed with sociocultural, religious and political contexts, which warrants further investigation.

This empirical study of women's educational attainment, religion and occupation and immunization status of under fives, with particular reference to poliomyelitis in Kaduna state, north central Nigeria sought to show the relationship between women's educational attainment, occupation, religion and household income, and the immunization status of under fives in their households, using the gender theory as theoretical framework of analysis, which seeks to explain the social processes at work in this part of northern Nigeria that might account for the poor indicators of maternal and child health, particularly poliomyelitis.

### Conclusion

The low socioeconomic status of Hausa women, who form the larger population of women in northern Nigeria, is a major reason for the continuing poor indicators of maternal, and by extension, child health in that part of the country. It can be inferred that when the social circumstances of the Hausa women improve, it would likely result in improved indicators of child health also.

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## LANGUAGE, ETHNIC IDENTITY, AND ADAPTATION OF ETHNIC MIGRANTS IN POST-SOVIET KAZAKHSTAN

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### Abstract:

In this work the author considers the issue of ethnic migration in the Republic of Kazakhstan and analyzes the problems of the adaptation and integration of repatriates into Kazakhstani society. The key issue of the research is the expectations of ethnic Kazakh repatriates versus the reality of their life on returning to their ethnic homeland. The author considers such issues as the ethnic identity of migrants, the linguistic adaptation of repatriates, the social and economic difficulties they face, culture shock, and the stereotypes that others have about them. Special attention is paid to the issue of "insider/outsider" and the way these lines are drawn in Kazakhstani society today.

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**Key Words:** Language Identity, Ethnicity, Adjustment, Oralman, Repatriation, Ethnic Migrants, Language Policy

### Introduction

The formation of ethnic identity and its transformation are important current research questions. The scientific literature confirms that there are various research approaches to the issue of migrant ethnic self-identification at different times, and currently there is no consensus in the meaning of this notion.

Certainly, through globalization and the increasing influence of foreign cultures, migration increases dramatically, borders around communication disappear, and this issue becomes more topical.

Modern authors often refer to Marcus Li Hansen's classic article, "The Problem of the Third Generation Immigrant", which was published in 1938 [1]. The author discusses that the ethnic self-identification of immigrants and their descendants changes from generation to generation, which is connected to conditions of perception of a situation, place, role and life conditions of a new country. Oscar Handlin wrote, "Once I thought to write a history of the immigrants in America. Then I discovered that the immigrants were American history" [2].

"Who am I?" This is a very difficult question for an ethnic migrant who has a Kazakh passport, was born in Mongolia, knows only the Mongolian language, and observes Mongolian traditions to answer. Scientists may have thousands of arguments for labeling this person a Mongol though this person will repeat with confidence that s/he is a Kazakh.

"Who is s/he?" This research is designed to consider this question by studying the formation of ethnic identity of repatriates in the Republic of Kazakhstan. The study also examines the influence of a number of factors such as the social and economic situation in the country, state policies concerning repatriates, relation of repatriates with the local population, education and others.

The process of repatriation of Kazakhs to Kazakhstan is many-sided and complex. Today more than five million of Kazakhs live outside of Kazakhstan. The biggest percent of ethnic Kazakhs abroad are descendants of those who left the Soviet Union in the 1920s and 1930s to escape from political prosecutions, repression, violent collectivization and the hunger and starvation that the Kazakh population suffered. Some 200,000 Kazakhs left the Soviet Union and moved to China, Mongolia, India, Afghanistan, Iran and Turkey. The number of Kazakhs living in the neighboring Soviet Republics during the same period increased by 2.5 times to more than 794,000 people. The "Slavic" immigration, which had begun in the 18<sup>th</sup> and 19<sup>th</sup> centuries and continued during the Soviet period, was accompanied by mass resettlement, violent migration, and Kazakhs became an ethnic minority in their homeland. Kazakhstan became the region within the USSR with the smallest native

ethnic population—the number of Kazakhs in the 1959 census decreased to 30% from the total number of the population of the Kazakh Soviet Socialist Republic with 9.3 million people.

Since 1991 the Republic of Kazakhstan has been actively working to return Kazakhs to their historical homeland. In legal documents this category of citizens is described as oralman or returnee [3].

Having declared a national program to return of ethnic Kazakhs to their historical homeland, the state assumed a number of obligations concerning the creation of corresponding civil, economic and socio-cultural supports for oralmans. The solution of these problems is the state prerogative, first of all. But now it is clear that the state's efforts to support oralmans in adapting to local conditions are insufficient and as a result the problems and tensions have increased.

**Table 1: Number of repatriates to Kazakhstan 1991-1 January 2011**

<i>Country of stay</i>	<i>Number of repatriates</i>			
	<i>Families</i>	<i>%</i>	<i>People</i>	<i>%</i>
Uzbekistan	126,790	60.3	494,565	60.0
Mongolia	22,124	10.5	110,856	13.5
China	25,764	12.3	85,487	10.4
Turkmenistan	16,232	7.7	63,702	7.7
Russia	11,065	5.3	35,422	4.3
Tajikistan	2,756	1.3	11,671	1.4
Kyrgyzstan	2,334	1.1	8,644	1.0
Iran	1,148	0.5	5,983	0.7
Turkey	895	0.4	3,485	0.4
Other countries of CIS	352	0.2	930	0.1
Other foreign countries	765	0.4	3,425	0.4
<b><i>Total:</i></b>	<b><i>210,225</i></b>	<b><i>100</i></b>	<b><i>824,170</i></b>	<b><i>100</i></b>

Many of the oralmans who returned from countries whose cultural and social environments strongly differed from those in Kazakhstan found it difficult to adapt to Kazakhstani socio-cultural values. One instrument of socialization is language, and considerable numbers of oralmans (in large measure those who returned from non-Commonwealth of Independent States countries) speak neither Russian nor Kazakh. The majority of oralmans who had difficulty integrating into Kazakhstani society returned from China, Mongolia and Iran.

According to official statistics from the Committee of Migratory Police of the Ministry of Internal Affairs of the Republic of Kazakhstan, since independence about 1 million of ethnic Kazakhs have returned to the republic from foreign and neighboring countries. The majority of oralmans, 60.5%, returned from Uzbekistan, 13.1% from Mongolia, 10.6% from China, 7.5% from Turkmenistan, 4.2% from Russia and 4.1% from other countries (see Table 1).

Working-age oralmans account for 54.4% (448,459 people), children under 18 are 41.2% (339,433 people) and retired persons 4.4% (36,278 people). Among persons of working age 9.1% have a higher education, 20.9% have a secondary vocational education, 63.4% have a general secondary education, and 6.6% - have no education [4].

### **Methods Of Research**

The author administered a questionnaire, which included 282 questions and touched upon the following topics: social-demographic characteristics; attitude to the Kazakh and Russian languages; the choice of the language in various situations and frequency of its use; opinions about the necessity of proficiency in the Kazakh and Russian languages; the level of proficiency in languages; social contacts; and additional questions.

The survey was administered between January 2009 and December 2010, and 1,000 people aging from 16 to 60 responded. The poll involved repatriates to Kazakhstan from China, Mongolia, Uzbekistan, Tajikistan, Turkmenistan, and Russia. Taking into account the fact that these countries

gave the greatest number of repatriates that returned to their historical motherland Kazakhstan (Table 1) and keeping to the general aggregate 600 responding oralmen from Uzbekistan, 135 – from Mongolia, 104 – from China, 77 – from Turkmenistan, 43 – from Russia and 14 repatriates from Tajikistan were quizzed. The author also conducted in-depth interviews with 65 respondents.

We also used included methods of research that allowed the consideration of the life of small primary and secondary groups in which there arises and forms a personality and models of social identification and the basis of ethnical identification. G. Urazaliyeva, for example, having constructed the term “ethno-autobiography”, used this construction as a method of analysis of students’ formation of ethno-lingual identification. The students were asked to write a composition answering “Who am I?” (I am a Kazakh (Tartar, Russian, Ukrainian, Jew, Chechen, etc.) and what does it means for me?”). The technique allowed for estimating the formation of ethnic identification of a personality in one of the unique age groups, determined as “children of perestroika” in Russian and Kazakhstani society [5].

It was important to follow up on repatriates’ language identification of repatriates, the linguistic factors that influence the successful adjustment of repatriates, and analyze informants’ attitudes toward language. 130 repatriates from age 16 to 60 took part in this follow up.

The analysis of the mass media was also carried out to discover stereotypes about oralmen.

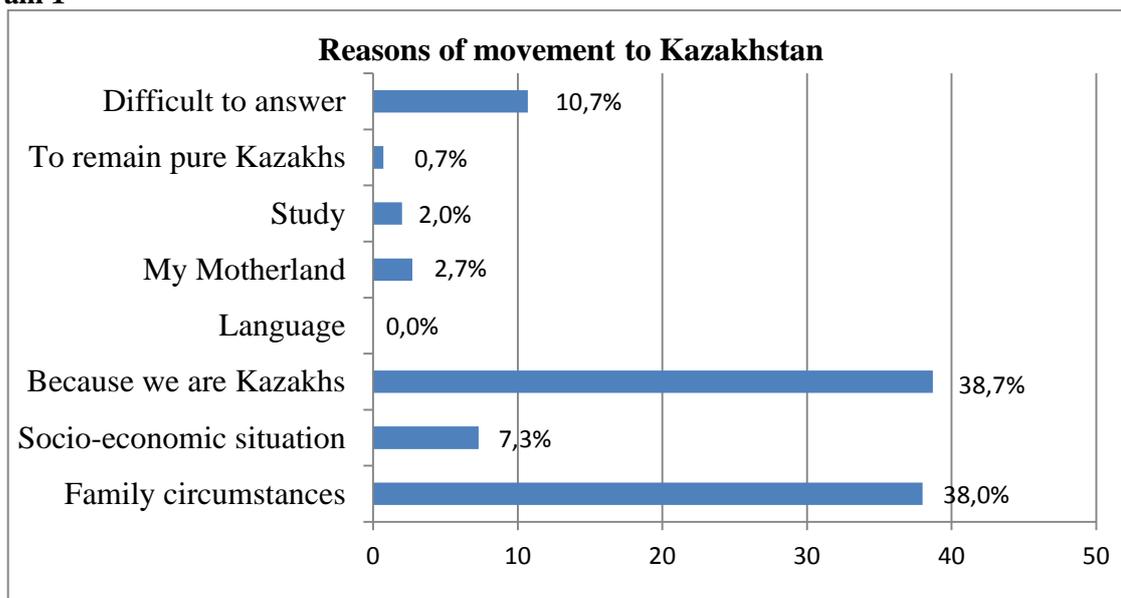
### **Repatriates’ Reasons To Move To Kazakhstan**

Previous research has shown that the motives for migrants to return home vary widely. The most common include:

- unsatisfactory economic conditions because of unemployment or lack of demand for professional;
- lack of social status and adverse attitude of the government or local population;
- reunion of families or serious family problems. It should be noted that the family factor plays an important role in Kazakh repatriation because of the importance of belonging to a certain clan;
- emotional factors including the opportunity to educate children, etc.

The first and the second motives are known as repellent and the third and the fourth as attracting factors in repatriation.

In Uzbekistan, for example, there are about 1.5 million Kazakhs who live mainly in the ecologically disastrous areas of Aral and the Kzyl-Kum desert. As for the reasons for moving except economic and ecological factors are called "unhealthy" policy of the Uzbek authorities at personnel selection and the issue of training of children in their native language. Approximately 70,000 ethnic Kazakhs live in Turkmenistan, where the poor economic conditions have led to an increasing flow of immigrants to Kazakhstan.

**Diagram 1**

The results of the socio-linguistic experiment show that the majority of repatriates moved to Kazakhstan for the reason that they were Kazakhs (38%) and because of family circumstances (38%) (Diagram 1). Among the reasons connected with family circumstances respondents allocate the following:

- receiving of available and quality education;
- search for better life;
- aspiration to be closer to relatives who live in Kazakhstan.

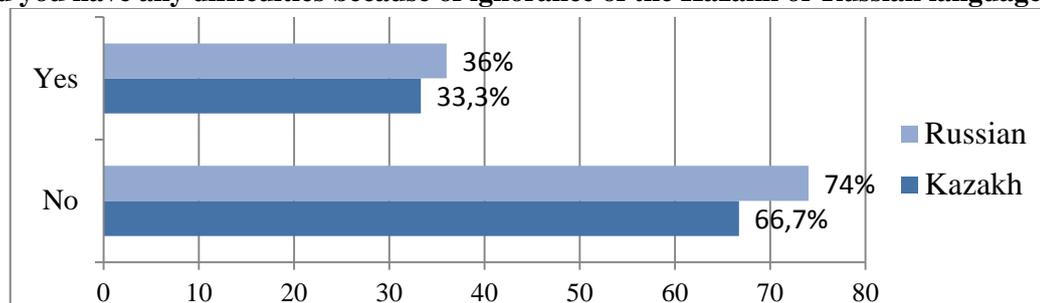
### Repatriates' Adaptation And Integration Into The Kazakhstani Society

On arrival to Kazakhstan, repatriates face certain difficulties which influence their successful adaptation and integration into accepting society. According to researchers, adaptation takes place at several levels: first, it is the lingual adaptation which includes acquirement of the second language in natural conditions. Second, it is social adaptation. It is caused by oralman's aspiration to become members of new society which accompanied by new social identification that is defined by the new culture and other knowledge of the world.

According to the questionnaire, part of respondents experienced difficulties because of ignorance of the Russian language (36%) and Kazakh language (33,3%) (Diagram 2).

**Diagram 2**

**Did you have any difficulties because of ignorance of the Kazakh or Russian languages?**



So, the results of the conducted research show that ignorance of Russian influences on:

- employment of repatriates (56%);
- obtaining reliable and topical information (34%);
- receiving of the corresponding allowances (32%);
- education (23%), etc.

Let's track causes and effects of this process which is connected, first of all, with the language situation in Kazakhstan.

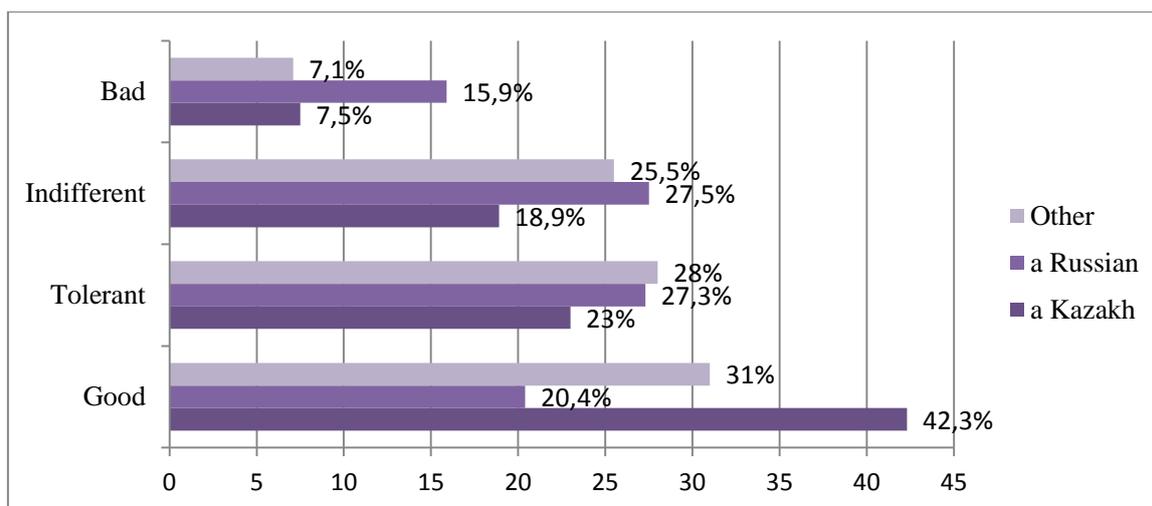
The language policy in Kazakhstan today aims to implement the cultural project "Trinity of Languages" – when each citizen of the republic knows the Kazakh, Russian and English languages. It is necessary to note that according to the Ministry of Culture of the Republic of Kazakhstan only 60 percent of the country's population knows the state language. And, despite the state's work on development of Kazakh, according to foreign scientists, Russian will be widely spread in the republic due to requirements of economic development and effect of globalization [6]. This situation leads to fact that for successful integration of repatriates into the Kazakhstani society it is necessary for them to know at least Kazakh and Russian.

Considering the issue of repatriates' adaptation into the Kazakhstani society, first of all we relied on the results of the sociological experiments. The analysis of the questionnaire results shows that the reason for successful adaptation into foreign-language society is realization that "to be understood doesn't mean yet to be accepted" [7]. If a speech strongly differs from a standard studied language, this individual remains "stranger" for society, a representative of another mentality and foreign culture.

Therefore, during adaptation the attitude towards repatriates of representatives of local community is also important. The data of the sociological poll of local population concerning their attitude towards repatriates are given below (Diagram 3).

### Diagram 3

**What is your attitude to oralmans (ethnic Kazakhs who came back to their Motherland)?**  
(in % to the total number of respondents without those for whom it was difficult to answer)



The results of observation show that negative attitude of certain part of the population to oralmans appears not in full rejection, but in vigilance to "alien" people, in potential threat and fear of loss of workplaces and reduction of chances of receiving housing in an intense situation of the real estate market.

The issue of "insider/outsider" is shown not only in language, but also in socio-cultural difference. The experience got in the field of culture, society, family, school, work and the mass media variously influences formation of a personality. Dissociation of cultures, originality of their understanding of life and language distinctions – all these factors influence relationship between people and, therefore, efficiency of their cooperation and mutual understanding. Difference of cultures can lead to cultural shock which is a consequence of incomplete acculturation of an individual, misunderstanding of a culture's norms which are new for him/her.

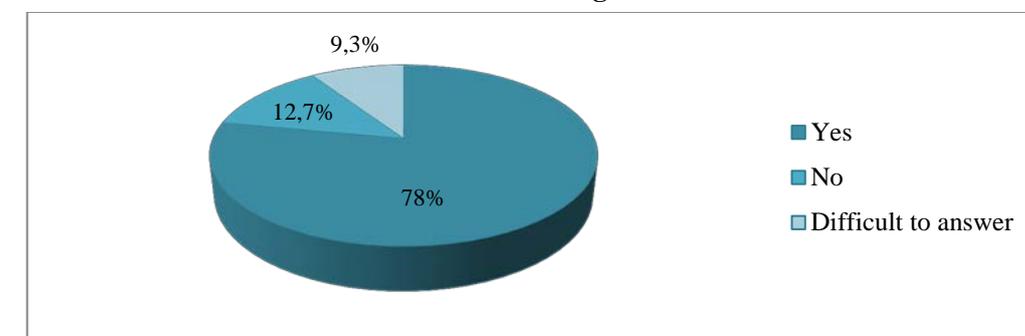
Cultural and mental distinctions of repatriates can be shown in all spheres of social life starting with fundamental characteristics of a personality, such as commitment to traditions, religious views, outlook, education, life, manner of behavior and even clothes. Moreover, distinctions on some categories are rather deep. In particular, it concerns the repatriates who have arrived from the

countries such as China, Mongolia, and Iran. Adaptation to the Kazakhstani conditions becomes complicated also because of the fact that repatriates represent quite a separated society as each group of repatriates have cultural features of that country where they arrived from. As the observations demonstrates that between repatriates and indigenous Kazakhs there is a distance appearing in such basic components as culture, mentality, speech and nonverbal behavior. It can be found in the repatriates' autobiographical texts:

*"The first year I continued my study at high school of the East Kazakhstan region. When I arrived, pupils from my class was interested in me and wanted to learn more about me. They asked me: "Nazerka, do you eat snakes or frogs in China? ", "Chinese are disgraceful and slovenly, aren't they? Are you similar to them? ". In the beginning I was very angry when I was asked such questions, but then I began to explain everything. – "I don't know such things about Chinese, the only thing I know for sure is that I am Kazakh and Muslim and therefore we don't eat such food, and the main requirement for Muslims is to be clean and eat Halal food... " (student, 21, moved from China in 2005.)*

#### DIAGRAM 4

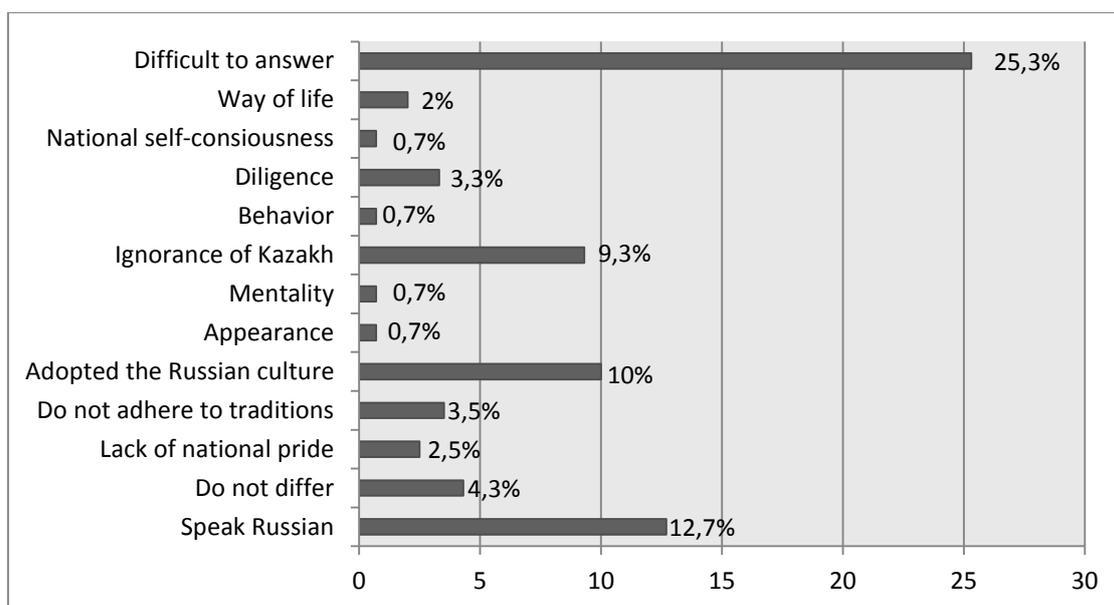
##### Differences between local Kazakhs and Kazakhs living abroad



According to 78% of repatriates, Kazakhs living in Kazakhstan differ from compatriots living abroad, 12,7% don't see any differences between oralman and Kazakhs living in Kazakhstan, 9,3% of respondents found it difficult to answer the question.

On the question "What is the difference, in your opinion, between Kazakhs living in Kazakhstan from compatriots living abroad?" the following answers were received: respondents, first of all, allocated the following characteristics: non-compliance with traditions (21,3%), communication in Russian (12,7%), adopted the Russian culture (10%), ignorance of the Kazakh language (9,3%), etc. Also such distinctive features as: "there is no national pride" (7,3%), "diligence" (3,3%), "culture" (2%), "national consciousness" (0,7%), "character" (0,7%), "mentality" (0,7%), "appearance" (0,75) were emphasized. The results of this poll are presented in Diagram 5.

With the purpose of detection of nature of mutual perception and estimation by the "accepting" and "entering" parties we addressed to the analysis of the mass media materials. For consideration of the outlined questions we took into consideration of such popular editions as "Kazakhstanskaya pravda", "Argumenty i fakty– Kazakhstan", "Vremya" and others during 1999-2011. The specified editions are characterized by mass character, popularity, socially recognized right to definition of reality that make considerable impact on formation of social representations of reader's audience concerning ethnic Kazakhs. The press doesn't directly form but helps to model image which is rather developed in ordinary consciousness. To a certain extent it reflects this image making it more distinct. Influencing mass consciousness of readers, the press promotes crystallization of a certain ethno-psychological background in which immigrants have to exist.

**DIAGRAM 5****Distinctive characteristics of local Kazakhs compared with repatriates**

Large number of repatriates who often differ from common population not only in appearance, behavioral manner, but also in cultural and valuable installations, and it induces so-called indigenous people which are permanent residents of the country treat to define their attitude. This attitude reflects both perception and understanding of the process of repatriation.

Analyzing these materials, we, first of all, were interested in the following questions: 1) in what social context repatriates are described, i.e. what aspects of life and economic practice of immigrants the press prefers to show; 2) what installations of reader's audience can be fixed about ethnic immigrants under the influence of social perception of an image of another.

It is known that “insider – outsider” opposition lies fundamentally in perception and information processing about surrounding reality. It appears in all spheres of human activity being specific cultural opposition which in a special way is realized in a language picture of the world.

First of all, the attitude towards repatriates is defined by the opposition “insider – outsider” (natives – entrants). The newspaper publications devoted to oralman's problems have the headings reflecting this opposition (“Insiders among outsiders, or outsiders among insiders,” *dumaem.ru*, the Special Project “Kazakhstan”, 13.12.2005.)

The understanding of “insiders” includes such basic aspects as:

– **representative of the Kazakh culture and traditions:**

“... *The ancient Kazakh dance "Kara Zhorga" is revived by Kazakhs who have come back to Kazakhstan. According to them, they are often invited to performances now. Though "Kara Zhorg" was referred to the Mongolian culture by mistake...*” (G. Kamziyeva "Thanks to repatriates in Kazakhstan who revive this rare dance of steppe men", "Arguments and Facts – Kazakhstan", 3.11.2004);

“... *Representatives of the Kazakh nationality living in foreign and neighboring countries are considered as keepers of the cultural heritage of the Kazakh people. It has its explanation: throughout many decades Kazakh families living outside the Republic of Kazakhstan were keeping their traditions, customs, and language.*”

*Herewith, isolated compact accommodation of Kazakh families abroad and lack of communications with the historical homeland allowed them to keep that identity of culture of the Kazakh people which in Kazakhstan for many years underwent assimilation and was filled with many innovations unusual for the Kazakh culture, language, traditions of indigenous people of the republic ...*” (O. Sidorov. "Gazeta.kz", 19.02.2004);

"... *Kanatbayevs' family is Kazakhs-oralmans who came from Uzbekistan, from the small town Uchkuduk. They arrived to their historical homeland in 2003. They also brought the self-made yurt, the white 12-kanatka with themselves.*

– *In Uchkuduk all Kazakhs very much value national traditions, – tells Altai, – there are masters in every aul and district.*

*Kanatbayevs' family placed their yurt for the first time in Karaganda on the city square on Nauryz holiday. Ak yui ("White house") from Uchkuduk made the real sensation. There was a long line of people who wanted to see the yurt. Then experts admitted that only this yurt was purely Kazakh 12-kanatka without Mongolian and Kyrgyz "influence" ...* ("A yurt for export", "Karavan" newspaper, 30.01.2009);

"... *Risa is an oralman from China where our compatriots carefully keep their national cultural heritage. Risa was awarded the gold medal in the nomination "National Dance", and Anvar Sadykova, her teacher – the Master of Arts, the winner of the award of the Fund of the First President, is very proud of it...*" ("Risa – the first on the dancing Olympus!", "Kazakhstanskaya pravda" newspaper, 05.03.2011);

"... *These people didn't assimilated, they kept the Kazakh customs, traditions, language, way of life. This faith to memory of ancestors and devotion to the far homeland helped their fathers not to become outcasts there; they saw the homeland in their dreams. Today they are representatives of that valuable spiritual code which was descended from generation to generation and thanks to which our nation is alive...*" ("Bayterek" magazine, No. 2(29), March 2011);

– **patriot:**

"... *Oralmans can't already imagine their life out of Kazakhstan and call themselves as the main patriots, they try to become real citizens of the country. During 60<sup>th</sup> the Soviet government provided repatriates with housing, cattle, clothes, but today, more than forty years later, the inhabitant of the notorious residential district "Shanyrak" who has arrived from the Karakalpak Nukus, tells that his family of five people can't get to a quota. They came thinking of the future of their children, but the earth is expensive and it is impossible to get ground...*" (the "Bayterek" magazine, No. 2(29), March 2011);

"*He came to the historical homeland to make it prospering. The local government helps with everything. "For me to work on my native land is very easy and joyfully,- Ermau Setesh says. I am sure that many oralman of Semirechya would share this opinion..."*" ("To find home", "Kazakhstanskaya Pravda" newspaper, 06.01.2009.)

Formation of a repatriate's social portrait is influenced by different factors. First of all, repatriation is discussed as the phenomenon which is given an assessment from the point of view of advantage or harm for accepting society. Resettlement of repatriates considerably influences a natural increase of the population, and oralman are considered as:

– **"reserve of human resources":**

"... *Now the Kazakh Diaspora is a reserve of human resources for the Republic of Kazakhstan...*" (O. Sidorov, "Gazeta.kz", 19.02.2004.)

Behavioral stereotypes of oralman in correlation with the principles of the Kazakhstan cultural behavior are perceived and as "strangers", "not ours", not meeting the requirements of the developed socio-cultural environment.

Oralmans are perceived also as the isolated group, namely as:

– **"the closed community":**

"... – Oralman themselves live closed, in community. Possibly, long stay in the other national environment in the status of ethnic minority, aspiration to keep the national feature influenced their way of life which they unconsciously live on the historical homeland, – demographer Sydykov thinks..." ("Closed communities", "Karavan" newspaper, 23.07.2010.)

Certainly, active flow of oralman to the country creates tension connected with appearance of special social problems therefore often oralman are perceived as:

– **"rebels", "disturbers of public order":**

"... *About 250 families from Mongolia came to Aktau, to their historical homeland. The first of them came on a quota in 1992. Some of them have already learned Russian, accustomed, got a new profession and work. Old men get pension. But every year it becomes more difficult for repatriates to*

*adapt to new places. Conflicts began to arise between local and repatriates. On October 20 five local attacked Tokhtar in the stokehole. They beat him on the head with a shovel shank, kicked him with their feet. Kasbatyr was also attacked, but he could escape. Unauthorized meeting gathered at the building of police emergency call center. TV reporters were witnesses of this incident. None of policemen reacted to requirements of repatriates to come out for dialogue. Then the crowd rushed into the building. Someone broke glass in the center. The chief of police department Marat Musin tried to explain in a polite form that murder was under control of the police, a suspected was in jail in Temirtau. Nevertheless, the rebelled broke in Akim's office. Akim Samat Murzatayev also explained that the suspected was in jail, and now the court was to decide about him according to the law. The rebelled calmed down and the conversation proceeded in the assembly hall of akimat..." ("Kazakh-oralmans (migrants from Mongolia) rebelled near Karaganda", "Argumenty i fakty - Kazakhstan" newspaper, 07.11.2004);*

**– as socially adverse category of the population (“swindlers”, “thieves”):**

*"...Sums which received unfair oralmans in the form of single financial support, made approximately one million tenge. Thus, once having got the support from the country, repatriates moving to other regions of the country repeatedly began to demand the support from the country ..."* ("Oralmans learned to make frauds", <http://www.vsesmi.ru>);

*"...Repatriates turn into business their return to the historical homeland Astana. May 24. KazakhstanToday – the Deputy of Mazhilis of Parliament of the Republic of Kazakhstan Vladimir Nekhoroshev claims that several thousand of repatriates turned their return to the historical homeland into business. He declared it today during the governmental hour in Mazhilis, addressing with this question to the chairman of the Agency of Statistics of Kazakhstan Alikhan Smailov.*

*We have the information that several thousand of arrived repatriates don't exist at all. Some repatriates come, receive everything that it is necessary to them, all our support, gifts, and leave back. They turned it into business", – V. Nekhoroshev told addressing to A. Smailov..." ("Kazakhstan Today" News Agency, 24.05.2010);*

*"...Arrived oralmans from Turkey, Iran, Afghanistan and Uzbekistan are as a headache to the authorities. Having received the order to the southern, northern and central regions of the country, they don't hurry to leave Almaty area. They also don't get job. They settle in the markets of Almaty and Kaskelen. Among them there are different people and someone chooses a criminal way to earn money. For example, the quartet of robbers who were systematically plundering taxi drivers, came from Uzbekistan. The businesswoman with Kaskelen registration became one of the victims of natives of Karakalpakstan. Robbers took away her gold jewelry, money and cell phone. One passenger broke the head of another victim, the 70-year-old driver, because of ... one thousand tenge! It became clear that the suspected arrived to Kaskelen from Kyrgyzstan..." ("Caravan", 28.10.2008.)*

**– as threat to national security:**

*"...According to the Committee on Migration of the Republic of Kazakhstan, about a quarter of one million of oralmans have the lowest education level that – despite of received privileges – automatically makes them unskilled labor which is a lot in Kazakhstan. We can add a flow of migrants from Central Asia, Xinjiang, Afghanistan, etc. which – legally and illegally – continues to arrive to Kazakhstan as the most safe country of the region. As receiving residence permit continues to remain rather bureaucratized and expensive procedure, the majority of them stay in the country illegally, and no "cleanings" of migratory police essentially changes the situation. They can't come back to even bigger poverty and they have just no place to go.*

*It is necessary to admit that several millions of people of able-bodied age which don't have education, qualifications and constant income being practically beyond the law rules and in antisocial conditions can become and gradually become an increasing threat to the country development. The problem is aggravated also by contradictions between the "city" and "rural" population in cities where arrived people, without opportunity to adapt start behaving rather aggressively. The same problem arises in regions where local population began negatively perceive labor inflow from abroad especially oralmans, receiving a set of privileges at once and often turning them into business..." ("Vremya", 29.07.2010.)*

– **as dependants:**

"...As for work, according to the director of the center, immigrants don't hurry to find some job. Everything is free for them in the center, therefore they do not hurry. When they are offered some job they do not always agree. They have spirit of dependants. There were cases in the region when oralmen, having received housing and lifting, sold their apartments and completely disappeared.

At the time of a release of the article the conflict was temporarily settled. Five oralman families got an opportunity to live in the Center of rehabilitation and integration for one more month. During this time they have to take advantage of the opportunity and find housing and work. It is impossible to depend always upon the state in the center's administration opinion. And, probably, the region authorities think the same..." ("Lada", 29.11.2010, <http://www.lada.kz/>)

Positive estimation of an oralman as a particular person is formed empirically. In the course of natural supervision existing stamps are forced out by an objective rational assessment. For example, there is often oralmen's assessment:

– **a hardworking person:**

"...*Kuanysch Ayapov moved to Uralsk together with his family in 2004. He received the earth on the city suburb, since then he has built a house here. Uzbek Kazakhs are famous here for their diligence. In conditions of lack of water they manage to make gardens and kitchen gardens.*

– *If there were water, we would make a garden city, but now we have to drag water in buckets through the streets to water our kitchen garden,* – aksakal Nuratdin Aleuov complains.

*In the village Kyzylagash of this region immigrants from China under the leadership of Salamat Abdamagit were actively engaged in such unusual field to local places as "arboriculture" and if to be more exact they cultivated such special species as... poplars, so-called industrial which have strong wood and can be used as a construction material.*" ("Vremya", 09.03.2010.)

To sum up:

- 1) Activization of the word *oralman* in Russian in the beginning of the third millennium is caused by the social reasons: migratory processes changing settled way of life, influence public consciousness. Mass migration causes formation of collective perception of repatriates;
- 2) national stereotypes used in the mass media reflect specifics of relationship in society;
- 3) some stereotypic ideas of repatriates are a braking factor: the specific attitude to oralmen from a certain part of the surrounding population and certain representatives of authorities, unwillingness to recognize them as "insiders" and "we", causes intense relationship of local Kazakhs with repatriates;
- 4) positive estimation of an oralman as a particular person is formed empirically. In the course of natural supervision existing stamps are forced out by an objective rational assessment.

The presented material doesn't reflect all features forming an image of an oralman in the mass media. We only wanted to show that the mass media often make a serious problem, creating a negative image of repatriates and the process of migration and immigration in general. This attitude leads to formation of Diaspora model of oralmen's way of life, forms at them feeling of isolation, creates difficulties in communication.

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# IS ASTANA A NATIONALISTIC PROJECT? THE ROLE OF KAZAKHSTAN'S NEW CAPITAL IN DEVELOPMENT OF THE NATIONAL IDENTITY

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## Abstract:

Academic literature suggests that transformation of the state power fosters shift in national identity (Verdery, 1999). The capital relocation is one of the reflections of this shifting. This paper explores the role of Kazakhstan's new capital in nation-building process and Kazakh identity formation. Kazakhstan obtained its independence after disintegration of the Soviet Union in 1991; 6 years later in December 1997 the President moved the capital from Almaty to small town in the North Aqmola (Astana). The government did not provide convincing explanations for the relocation, which caused people and international observers to develop various theories about the real meaning of the relocation including geopolitical and nationalistic reasons.

Theoretical framework suggests that capital relocation is one of the effective tools of national identity development that is commonly used in post-socialist states. The paper suggests that Astana is the political elite's project aimed at becoming a centerpiece of the nationalist nation-building strategy in Kazakhstan. The research contributes to the theory by investigating unrequited question of intersection of national identity and nationalism and built environment in post-soviet Asia.

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**Key Words:** National Identity, Nation-Building, Kazakhstan, Capital Relocation, Astana

## 1. Introduction

The issue of national identity in post-socialist states is widely represented within cross-disciplinary studies. Yet, there is lack of literature on intersection of national identity and built environment, specifically in Central Asia and Kazakhstan. This paper demonstrates the results of the MA research on the role of built environment in national identity formation at the example of Kazakhstan's capital Astana. The research was fulfilled and presented in September 2011 at Newcastle University, United Kingdom.

In December 1997 Kazakhstan moved its capital from Almaty in the southeast to the north - Aqmola, renamed to 'Astana'. Appearance of Astana in the middle of Kazakh steppe became most remarkable event in Kazakhstan's history, as well as most noticeable project of President Nazarbayev. Yet, even these days the decision of the President to build new capital remains confusing for Kazakhstanis and external observers (Matloff, 1999). The cost of the relocation project, estimated about \$ 400 million only at first stages of its realization, was called as misguided act by majority of international observers, due to severe economic crisis that that Kazakhstan was undergoing; during growing inflation and rising unemployment the relocation was disastrous for Kazakhstan's budget (Jeremy, 1997; Schatz, 2003).

The government explained the necessity of relocation by poor seismic and environmental conditions of Almaty. None of these reasons was meaningful enough to justify the relocation. The facts listed above can be considered as rational-technical reasons that commonly used by governments as plausible, yet superficial explanation for the capital move (Schatz, 2003:7). As Potts (1985) suggests, well-designed move of the capital may foster economic development of the country. For example, majority of the African and Asian countries in 1950s-1990s were guided by aim to built new capitals that would evade economic and geographical limitations of old colonial capitals, and therefore become the new hubs of commercial exchanges (Schatz, 2003). Another factor is the government's desire to weaken political influence of former colonizers by distancing administrative center (Ibid). Although, these explanations seem viable, they are plausible in Kazakhstan's case. Firstly, despite Almaty was a capital of Soviet Kazakhstan, due to its geopolitical location it remains a

key financial center of Kazakhstan. It was economically unreasonable to move capital to distant Astana in the North. Secondly, if the government wanted to distance from the Russian colonial legacy, the move to Astana was useless since its close proximity to Russian border.

There is a common logic in capital relocations in African and Latin American states; besides rational reasons these states use capitals as centrepieces of the nation-building projects. In this paper, the author shows how capital relocation, nation-building, and national identity intersect in case of Kazakhstan. The author suggest that capital's move in Kazakhstan was a symbolic action designed to foster Kazakh identity. It is also demonstrated that Astana is initially designed as a centrepiece of the nationalistic project.

## 2. Methodology

The research applied the modernist approach of the nation as a theoretical framework for the study. Anderson's (1991) work on imagined communities and Billing's (1995) notion of 'banal nationalism' were valuable for the research. According to theoretical framework, post-colonial states implement same models of nation-building as Western nation-states applied in 17-18<sup>th</sup> centuries (Anderson, 2001; Smith, 2000). In order to build a nation, political leaders produce discourses about it in the forms of myths, holidays and built environment (Billing, 1995). The paper argues that Kazakhstan's new capital-Astana has become a centerpiece of nation-building project. This paper suggests that, as well as other 'banal' symbols Astana becomes a symbol reflecting national identity and nationalism.

The article explores 'How Astana is used to develop the national identity?' In order to answer this question, it is divided into three main sub-questions:

1. The reasons of the capital's relocation to Astana
2. How Astana is presented in official discourse?
3. How national identity is represented in the cityscape of Astana

The findings discussed in the next section reflect those 3 questions.

The research applied a qualitative approach, using textual analysis and visual analysis of Astana's cityscape. The analysis was conducted by interpretive textual analysis approach. Particularly, rhetorical analysis was applied to the written documents while semiotics is used in the visual analysis. The literature suggests that given types of analysis look for deeper meanings of the texts exploring their implied social meanings in order to discover their relation to wider social discourses (McKee, 2003).

## 3. Findings

The findings reflect the three research questions identified in previous paragraph.

### 3.1 *The reasons of capital relocation*

The research findings show that official reasons give logical though un-sufficient justifications for the capital's move. Examination of unofficial theories has demonstrated that relocation was driven by a number of political reasons, including nationalistic concerns.

The justifications for the capital move that produced by the government concerned with domestic questions. Despite multiplicity of official justifications they could be categorized into two groups: environmental and geographic reasons.

#### *Seismic activity*

According to government, high probability of earthquakes in Almaty was one of the main reasons that fostered the capital's move. Statistics show that major earthquakes happen in Almaty nearly every 100 years, and last destructive earthquakes occurred in 1887 and 1911, damaging 1700 building and killing 322 people (UN OC HA, 2004). The frequency of quakes during 1990s gave the government more confidence to claim that there was a possibility of another major earthquake in near future. The natural catastrophe cannot be claimed as sufficient explanation for the move. Yet, the possibility of capital destruction in next 20 years was a strong motive to move it.

#### *Pollution*

Pollution has been the main problem of Almaty for several decades while overpopulation, emission and mountainous area are considered as its major sources. Clearly, being a major problem,

pollution partly explains the capital relocation. Still, it can not explain its relocation to Astana city. If the ecology of Almaty was a key issue, any other city with better environment could be chosen as a new capital. Likewise, due to semi-deserted landscape causing regular dust storms and poor water conditions, Astana was not best choice for the capital of Kazakhstan.

#### *Geographic issues*

Geographic location of Astana, as explained by the government is its main advantage over Almaty (Nazarbayev, 2005). The idea of ‘Eurasianism’, promoted by government as a centerpiece of the new national identity, is one of the key explanations of the capital’s move. The concept of ‘Eurasianism’ was developed in Russian Empire and then in Soviet Union in order to control the inter-ethnic relations. The concept argues that due to its geographical location between Europe and Asia, Russia embodies the cultures of both continents and thus appears as a symbol of harmony between different nations and ethnicities. In Kazakhstan the Eurasian concept was initiated by President and suggests the same idea about ‘unique’ position between European and Asian cultures.

Promoting the Eurasian idea, the government stated that Kazakhstan needed new capital that would embody the idea of country’s ‘uniqueness’ (Nazarbayev, 2005). According to the President, overpopulated Almaty in the south-east was not able to express Kazakhstan’s exclusive mission as a ‘bridge’ between Europe and Asia. On the contrary, “...just as Kazakhstan was uniquely situated at the crossroads of cultures, Astana enjoyed a singular location at the heart of Kazakhstan and could ensure stable and effective transportation, communication, and defense” (Clapham, 1999).

The probability of inter-ethnic tensions in the North can also be argued as important factor affecting the move to Astana. From Astana the government can control problematic Northern regions and keep it under constant surveillance, which was difficult to fulfill from Almaty located 700 miles away from the North.

Hence, despite lack of attention to official theories, the discussed reasons can be argued to have adequate and objective character.

#### **3.1.1 Nationalistic motives**

The research has revealed that for Kazakhstan the capital relocation has two symbolic meanings: firstly, the reconciliation of Kazakhstan’s sovereignty; secondly, the new identity production.

##### ***Reconciliation of sovereignty***

Place is an important basis for national identity. In terms of modernist theory of nationhood, place plays a key role in modern sovereign states. For Kazakhstan, the capital move to the North was a symbolic action demonstrating that despite it is a Russian populated area, the North remains an integral part of Kazakh state. By moving to North, Kazakhstan thus reconciles its land, constructing new community the entire territory of which should be ‘imagined’ as Kazakh. Due to the policy of Russian Empire and Soviet authority in 19-20<sup>th</sup> centuries, in terms of ethnic composition the North of Kazakhstan actually became Russian area. For instance, still after collapse of the Union in 1991, about 63% of population of the northern regions (Aqmola, Karaganda, Pavlodar, Kostanai, North Kazakhstan) was Russian, whereas southern and western areas were predominantly inhabited by Kazakhs (The Agency of Statistics, 2011). The concentration of a large percentage of Russians in the North increased the threat of separatism, which was not groundless due to the following facts:

The large scale of geographical segregation between Russians and Kazakhs was a real problem for Kazakhstan. Figure 3.1 demonstrates that majority of ethnic Kazakhs is assembled in southern regions of the country (Kyzylorda, Shymkent, Taraz,), while there is only small percentage of Kazakhs in the North. In contrast, the Russian population mainly inhabits North and East of Kazakhstan (Figure 3.2). As it is said by Gellner (1983), the regional deviation between two nations in a single state usually causes resistant attitudes of one of them. In Kazakhstan’s situation, the regional segregation could intensify separatist attitudes among Russians in the North, which would disturb the nation-building process in Kazakhstan.

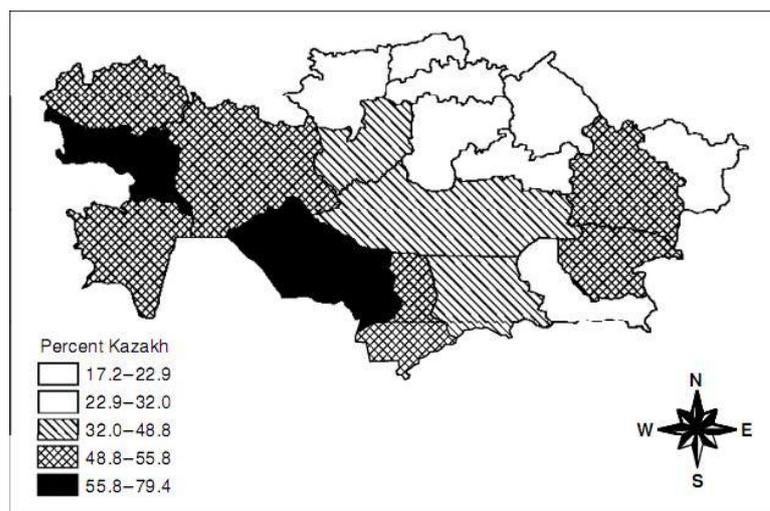


Figure 3.1 Demography of Kazakhstan. Source: Wolfel, 2010:490

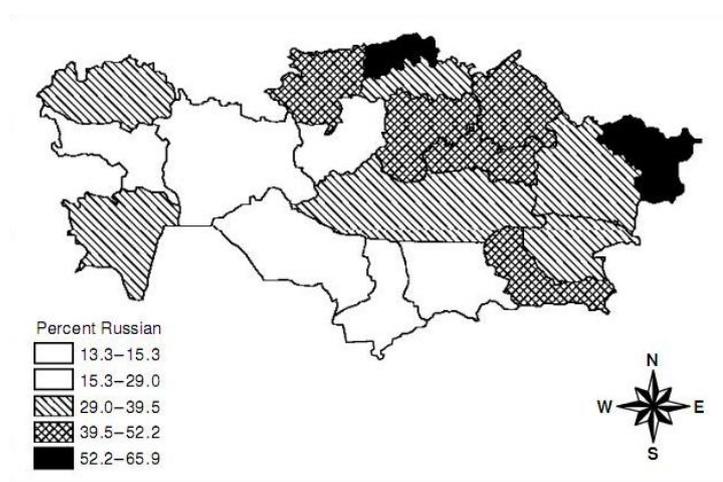


Figure 3.2 Demography of Kazakhstan. Source: Wolfel, 2010:491

Proximity of Russia always meant the possibility of Russian Federation's support of ethnic Russians in the North, which jeopardized Kazakhstan's sovereignty. In 1930s-1950s the Soviet administration was promoting the policy of dispersion of ethnic Kazakh population by forced migration of Russian and Slavic nations to Kazakhstan. As a consequence of those campaigns by the end of 20<sup>th</sup> century demographically Kazakhstan was divided into Kazakh South and Russian North. This fact fostered groundless theories of Russian nationalists, arguing that North Kazakhstan historically belongs to Russia while traditional Kazakh territory is restrained by South and South-East areas. Majority of Russians leaning to Russian Federation demonstrated resistance to the new national identities. The refusal of Kazakhstan's new language policy was one of the examples of Russian's denial of new circumstances.

In August 1995 the new Constitution proclaimed Kazakh as 'State' language, while in 1996 the amendment to the Constitution proclaimed Russian as 'Official' language (Dave, 2005). By adopting comparatively tolerant language policy, President Nazarbayev intended to balance the nationalistic attitudes of some ethnic Kazakhs, who claimed to revive the Kazakh language on the one hand, and nationalistic Russians who did not want to adopt the new identity from another (Olcott, 2002). However, influenced by nationalists from Russian Federation, Russians claimed for proclamation of Russian as a second state language and resisted to learn Kazakh. Martha Olcott (2002) explains this situation as a 'zero-sum game' where '. . . hypersensitivity [for ethnic communities] has locked the people of Kazakhstan in a situation in which the advance of one ethnic

group are understood as losses by the other'. Therefore, any policy regarding cultural issues could become a potential source of the inter-ethnic discords.

The discussed problems encouraged the government's decision to move the capital to the North. Firstly, it would let to keep constant control over potential separatist movements. Secondly, the capital's move is an effort to balance ethnic diversity by distribution of Kazakhs to the North. Thirdly, the move to the Russified North is a symbolic reclamation of the Kazakh territorial integrity and sovereignty (Melvin, 1995).

#### *Alternative nationhood*

One of the reasons of capital move is an attempt to distance from Soviet legacy. The move has symbolic and political implications. In terms of politics, it is an opportunity to establish new governmental apparatus. Majority of new administration in Astana are Kazakhs, while old soviet cadres stayed in Almaty. Symbolic importance of the move lies in the construction of the new state on a principle of *tabula rasa* (Schatz, 2003).

The relocation is intended to show Kazakhstan's legitimate statehood within political and economic world. The parallels could be drawn between the capital moves in Brasilia and Kazakhstan. One of the main reasons of capital's move in Brasilia was the President's effort to demonstrate the country's readiness for socio-economic transformations (Ibid). In Kazakhstan this aspiration is reflected in the new capital's cityscape. The architecture of Astana symbolizes both Kazakhstan's willingness for independent nationhood, and state's openness for new international affairs. Moreover, the capital's move to the steppe can be considered as a reclamation of nomadic past practiced by Kazakhs before Russian colonization. Thus, Astana creates a symbolic link between the past of Kazakhs before Russians colonization and present independent period, skipping therefore an undesirable colonial.

### **3.2 Representation of Astana in official discourse**

The research findings have revealed several discourses about Astana, each reflecting various and contradictory ideas about national identity. The chapter begins with the analysis of Astana as a visual representation of the official notion of a civic society represented in 'Eurasian' concept, and at the same time as a centerpiece of the nationalistic notion of the 'Kazakh' identity.

#### *Eurasian concept*

The theoretical framework suggests that it is common for new states to seek for new ideas or concepts that would represent the state and bring the nation together (Billing, 1995). For Kazakhstan the notion of 'Eurasianism' is aimed at filling the ideological gap caused by communism's breakdown, and to shape a new national idea. President Nazarbayev applied the Eurasian notion to Kazakhstan, developing the idea about the 'uniqueness' of Kazakh state due to its location between European and Asian civilizations. Astana has become a centerpiece of this ideology. The city has been promoted as a geopolitical center of Eurasia, representing centrality and multiculturalism of Kazakhstan. This idea not only mentioned in official documents but it also inscribed in Astana's landscape. Astana's contemporary architecture physically represents the concept of Eurasian identity. The capital has become a central point of a new discourse indicating Astana and Kazakhstan as the center or the 'heart of Eurasia' (Nazarbayev, 2003; 2005).

Not only the significance of Astana as a new center of a distinct Eurasian state is underlined, but also formation of the new 'Eurasian' identity based on the principle of multiethnic society emphasized in this discourse. The 'Eurasianism' can be considered as an attempt to prevent the nationalistic tendencies, by suggesting an alternative non-ethnic concept of the 'Eurasian' nation - the amalgam of people living at the center of supercontinent (Ibraeva, 2005).

Along with the Eurasian idea, the idea of 'Kazakhstani' people is a part of the government's project of civic nation. The term 'Kazakhstani' is used to refer the whole population of Kazakhstan regardless ethnic belonging. The Eurasian or Kazakhstani notion operates as a main element of the President's idea about civic society. At the same time, the Eurasian concept allows the government to de-legitimize any disturbing claims such as arising from Kazakh nationalists or Russian minority.

### *Glorifying Kazakh nation*

Along with promotion of the Eurasian identity, the government started to work towards construction of the national identity exclusively for the ‘Kazakh’ nation, which in contrast to ‘Kazakhstani’ idea, includes exclusively the Kazakh population. In terms of this, the representation of Astana as a symbol of Kazakhstan’s ‘uniqueness’ could be considered as an expression of Kazakh nationalism. The official discourse characterizes Kazakhs as the “genuine Eurasian people”, and Kazakhstan as the “epicenter of the world”, that certainly gives the nation an emblematic prestige and promotes national pride (Shnirelman, 2009; Nazarbayev, 2005). The role of Astana in here is the “bridge between Europe and Asia” (Ibid).

These discourses can clearly be understood as a glorification of the Kazakh statehood. Moreover, recently the government frequently uses the expression ‘Kazakh’ instead of ‘Kazakhstani’ while talking about Kazakhstan’s development and future strategies. To illustrate, Astana is often called as ‘sacred fatherland of the free nation of Kazakhs’, which actually contradicts the official discourse of non-ethnic Eurasian identity.

### **3.2.2 Manifestation of sovereignty**

The research findings revealed that official discourse portrays Astana also as a symbol of the Kazakhstan’s sovereignty. One of the reasons of the capital’s move was the President’s attempt to distant from Soviet legacy, that were still recalled in old capital’s memories, and to begin a new history from the construction of the ‘Kazakh’ capital. Official documents describe Astana as a “capital of the free nation”, a “symbol of Independent Kazakhstan” and the “new capital of the new era” (Nazarbayev, 2011; Dzhaqsybekov, 2000).

Though, most documents frequently refer to Astana as ‘Kazakhstani’ capital, the city is also represented as ‘Kazakh’ capital, thus proclaiming the unconditional rights of the titular nation (Kazakhs) to Kazakhstan’s land (Dzhaqsybekov, 2000; Kazinfrom *b*). To illustrate, the expression “the capital of the free nation” obviously refers exactly to Kazakhs rather than to the whole population.

From the Stalinist era, Soviet administration used nationalistic policy towards national minorities. Millions of Kazakhs died as a result of the program for collectivization, meanwhile Russian families were moved to Kazakhstan and provided with houses taken from bankrupted Kazakhs. Therefore, by ‘free nation’, officials mean the Kazakh nation, which finally gained Independence from Russian dominance. Thus, the capital move to North was a political gesture symbolizing the reconciliation of Kazakh territory, previously associated with Russians. The move to the steppe can be thought as symbolic return to historical roots, and as declaration of the legitimacy of Kazakh nationhood.

### *Astana as symbol of Kazakhstan*

Astana has been promoted as a symbol that would foster national pride, and represent Kazakhstan to the world. Astana is represented not only as an original capital of the ‘Eurasian’ nation, but also as Kazakhstan’s main achievement. Astana has been turned into the main object of public attention. For instance, the summits of the Organization on Security and Cooperation summit and the 7<sup>th</sup> Asian Winter Games all were held in Astana, that certainly increases the city’s prestige. The organization of such important events in Astana is a chance to introduce a new capital to the world, and thus to promote it as a success of Kazakhstan’s statehood and a new national symbol. Thus, Astana itself has become a big symbol of certain ideas.

Moreover, Astana is also promoted as national ‘brand’. Despite being known as a large oil producer and owner of the world’s largest operational space launch facility (*Baikonur*), in 20 years of independence Kazakhstan has not developed its own brand that would characterize the country. Astana became an ideal brand representing Kazakhstan. Firstly, it is the world’s first capital built in 21<sup>st</sup> century which gives Kazakhstan exceptional status as an initiator of a grandiose capital building project. Secondly, both national traditions, and modernism are embodied in the architecture of Astana, symbolizing thus the unity of past, present and future. Furthermore, it can be argued that Astana appears as not only a brand in its symbolic meaning representing Kazakhstan to the world, but also as

a huge business project. By ‘advertizing’ Astana to the world, Kazakhstan seeks for foreign investments new contracts with the world’s biggest building companies.

### ***3.3 Representing national identity through urban landscape***

From the first site Astana seems as illusion appeared in the middle of Kazakh steppe. The monumental buildings with unique designs are the main features of Astana (Figure 3.3). The idea of modernity suggested by Japanese designer Kisho Kurokawa is a central concept reflected in Astana’s architecture. According to postcolonial studies, in a prospect of developing countries, ‘modernity’ represents an attempt of those states to advance toward European model of development (Koch, 2010). In case of Astana, modernist architecture represents two symbolic meanings:

- Independent statehood
- The new national identity





Figure 3.3- Architecture of Astana, Left Bank. Appendix IV for other images

### 3.3.1 Independent statehood

Modernism and monumentalism of architecture show total rupture with the Soviet design of majority of Kazakhstan's cities. Astana was founded by Russian Cossacks in 19th century as Aqmolinsk town which had always been associated with Russian legacy. Accordingly, the city's landscape recalled the Imperial style; after the Soviet Union's formation it was re-designed into Soviet city. By 1880s Russian peasants constructed the residences in a style of typical Russian *izba* and rectangular brick structures called *sammany* (Figure 3.4).



Figure 3.4-Astana in 19<sup>th</sup> century ([www.astana.kz](http://www.astana.kz))

At that time, Kazakhs from Middle Horde began to adapt sedentary lifestyle leaving traditional nomadic life. Transformation of Kazakhs' lifestyle affected the architectural types of their houses. *Sammany* and *izbas* had totally replaced traditional Kazakh *yurt* made of wooden walls which was used by Kazakhs for several centuries (Figure 3.5).



Figure 3.5- Kazakh yurt (<http://www.eco-tourism.kz/html/culture.htm>)

During Krushchev's Virgin Lands program, Akmolinsk was renamed in Tselinograd and filled with Soviet block apartments instead of *sammany*. After relocation, Astana has transformed into modern capital of Kazakhstan with original architecture. Soviet apartments were replaced by innovative projects such as *Baiterek*, *Pyramid* and *Khan Shatyr* (Figure 3.6). The theory suggests any architectural style represents the ideology of its time (Alexander, 2007). In Soviet Union block apartments were common for all major cities of the Union Republics; similar architecture reflected key ideology of Socialism-Unity and equality between the nations. It could be considered then that destruction of soviet constructions in Astana is a part of nationalistic project intended to erase the old ideology by introducing a new vision of Kazakhstan's future.

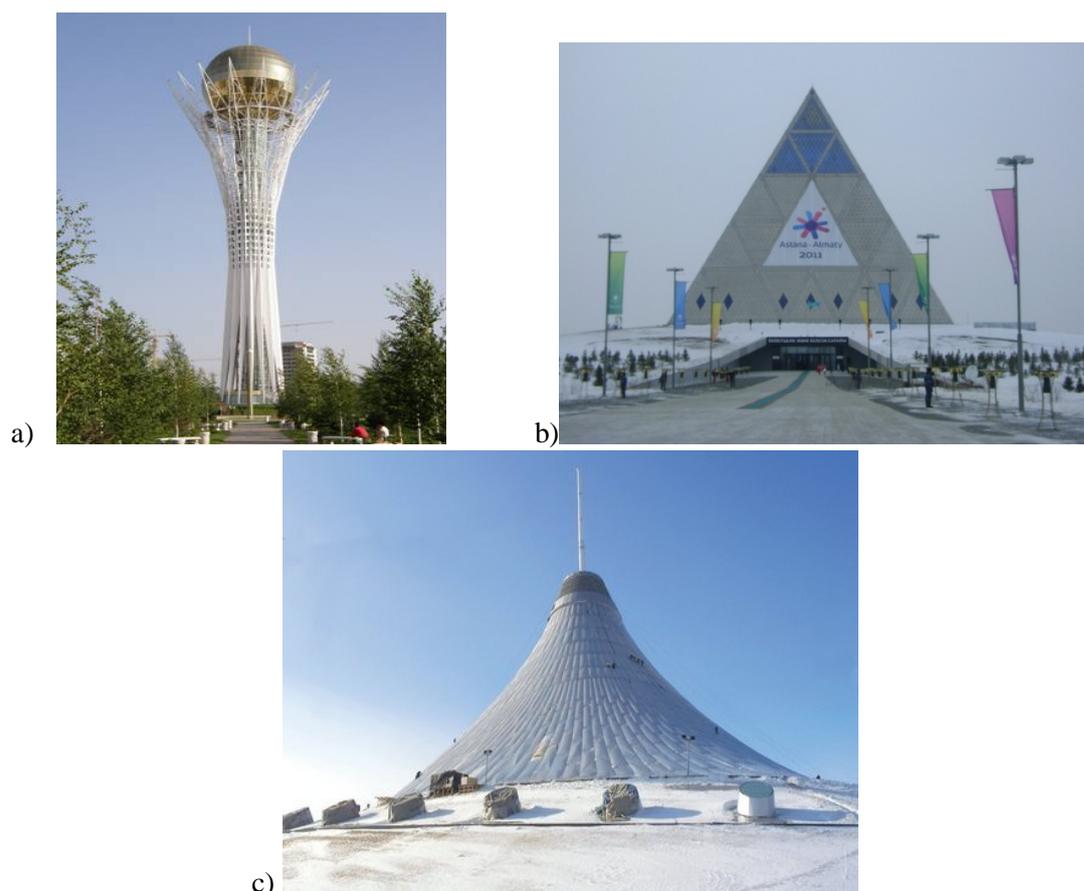


Figure 3.6- Constructions a)Baiterek, b)Pyramid,c)Khan Shatyr

Symbolically major new constructions in Astana are located on the Left Bank of Ishim River. 'Left Bank' is a name of a new city center of Astana. Before 1997, this side of Ishim was covered by steppe; in 13 years the territory transformed into the main administrative centre of Kazakhstan.. The reconstruction of Astana was not sufficient to represent the statehood and President Nazarbayev decided to build a new city within Astana itself (Left Bank).

The re-construction of Astana also symbolizes declaration of Kazakhstan's economic openness. Astana turned into one of the world's largest building projects with estimated cost of 8 billion dollars from 1997 to 2010 period ([www.infrom.kz](http://www.infrom.kz)). Construction of Astana demonstrates Kazakhstan's readiness for the new relations with the world economies. Thus, it could be said that principal metaphors engraved in Astana's architecture signify Kazakhstan's desire to be seen as legitimate and equal international actor.

#### *New national identity*

Futuristic architecture represents President Nazarbayev's idea of *Eurasianism* ('Evraziystvo'). In Kazakhstan Eurasianism indicates Kazakhstan's special role as a 'bridge' between European and Asian cultures (Nazarbayev, 2005). Historically, the central route of famous 'Silk Road' lied across Central Asia and the territory of Kazakhstan, connecting Asia with the Mediterranean world. As a capital, Astana is supposed to signify this intersection of cultures. Indeed, Astana's is a mixture of different architectural designs including Western style skyscrapers, mosque like museums, and buildings representing Kazakh culture. Thus, Astana's architecture is used to reflect President's vision of Kazakhstan's future based on prosperity and inter-ethnic unity.

The Palace of Peace ('Pyramid') is an example of how the built environment becomes a part of official discourse (Figure 3.6).The Palace, designed by Lord Norman Foster, reflects President's idea of multiculturalism and religious accord. Built in 2004, the Pyramid held three 'Congresses of World and Traditional Religions' that took place in 2003, 2006, 2009 (Pearman, 2011). The Pyramid is one of those 'special projects' promoting the official project of Eurasian identity, representing

Kazakhstan as a center inter-ethnic harmony for both domestic and international audiences (Nazarbayev, 2006).

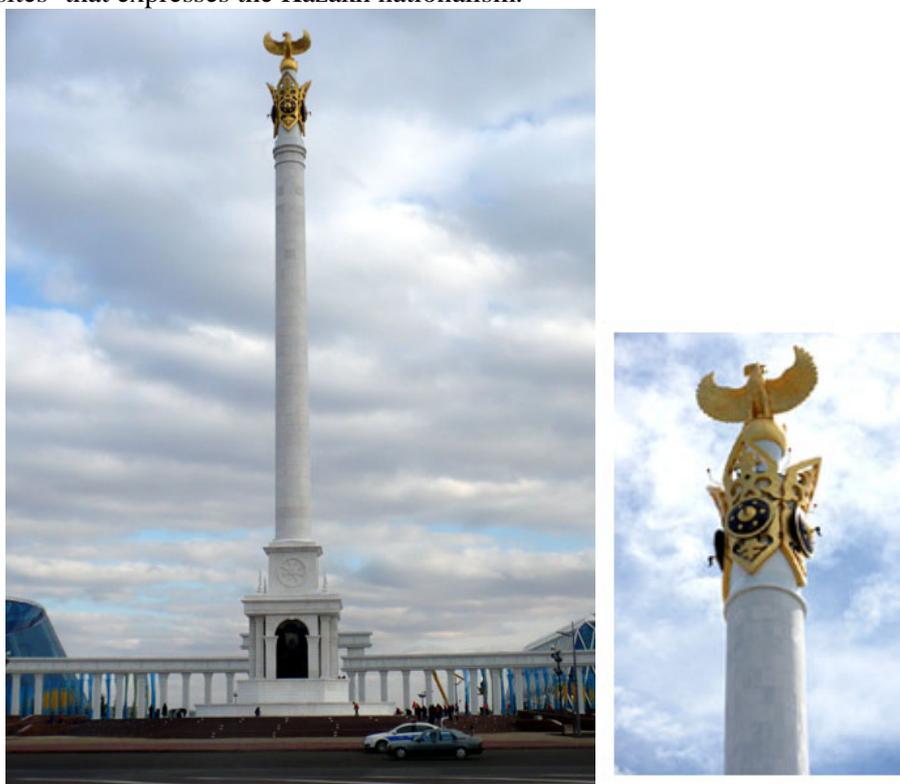
'Eurasian' identity based on inter-national unity is an alternative identity suggested by government. Applying Soviet type internationalist discourse, the officials uses the terms 'Eurasian' and 'Kazakhstani' instead of 'Kazakh' (identity) in order to erase the disparity between nationalities (Koch, 2010).

#### *Kazakh nationalism*

The research also revealed that the latest constructions in Astana reflect the nationalistic ideas that are different from official discourse. Alongside with the inclusive 'Eurasian' and 'Kazakhstani' identity, the government develops the 'Kazakh' identity for the titular nation.

#### *'Kazakh Eli'*

'*Kazakh Eli*' ('Kazakh Land') is one of the recent complexes opened in Astana. The Monument symbolizes the freedom, pride and future of the Kazakh nation (Kazinform, *c*).The constructions' main element is the 91-meter white stele with mythical golden bird *Samruk* on its top which is a symbol of freedom and hope (Figure 3.7).The monument's height signifies 1991-the year of Kazakhstan's independence. There are 4 main relief compositions inside the monument, each of which represents key ethical principles of Kazakh nation. The monument appears as one of those 'iconic sites' that expresses the Kazakh nationalism.

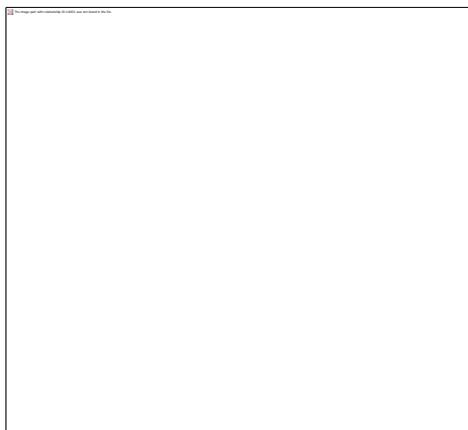


*Figure 3.7- Kazakh Eli monument*

Firstly, the symbolic height (91) represents the beginning of an independent statehood. There are complexes in other cities symbolizing the independency such as monument of ancient Kazakh golden warrior 'Altyn Adam' ('Golden man') in Almaty. However, except 'Kazakh Eli' there is no monument, the structure and composition of which clearly signifies the liberty from Russian legacy. One of the monument's 4 compositions - 'Courage' glorifies Kazakh heroes of early years of resistance to Russian imperialism. From one side, it signifies a gratitude of Kazakhs to the predecessors who for centuries fought for the state's independence. From another side, the images of Kazakh heroes recall a national history, which was almost forgotten during Soviet period. Due to national policies of Soviet administration not only facts about Kazakh resistance were removed from the history books, but also many traditions of national minorities were forgotten. Recalling the

history, the government thus revives a national culture which is a foundation for the development of national identity. Due to official discourse of multiculturalism, the government expresses 'Kazakh Eli' as a gratitude for all 'Kazakhstani' people, for their patience and support of the current power. However, in other official documents there could be found the nationalistic notes that emphasize the importance of *Kazakh Eli* for the 'Kazakh' nation. Considering the colonial past *Kazakh Eli* indicates Kazakhs' enduring desire of independence and resistance to Russian colonization. Since Russian colonization in 18<sup>th</sup> century till Union's breakdown, for 2 centuries Kazakhs wished the independent statehood. The wish was fulfilled when Kazakhstan obtained sovereignty; and 'Kazakh Eli' has become a symbol of this contentment.

Secondly, the title 'Kazakh Eli' ('Kazakh Land') itself brings patriotic tones. The monument could be named 'Kazakhstan's Land', and then it would follow official doctrine about Kazakhstani identity. However, in order to develop patriotism, the name should have reflected Kazakh sovereignty. The monument together with a new capital becomes an element of a large nation building project in Kazakhstan.



a)



b)



c)

*Figure 3.9-Relief compositions Kazakh Eli*

Hence, 'Kazakh Eli' is one of those cultural sites aimed to revive the national pride and foster national identity of Kazakh people.

Recalling the literature review it can be said that urban landscape plays significant role in reflecting national identity. The analysis shows that Astana's landscape represents the following ideas:

Firstly, its 'futuristic' style manifests Kazakhstan's independent and legitimate statehood. Secondly, it reflects the government's project of 'Eurasian' identity. Yet, along with the 'Eurasian' notion, a new idea of the 'Kazakh' nationhood has been reflected in particular constructions. The appearance of nationalistic monuments demonstrates that alongside with an inclusive 'Kazakhstani' identity, the government promotes an exclusive 'Kazakh' identity for the titular nation, demonstrating Kazakh nation's right to Kazakhstan's statehood.

### Conclusion

The main aim of this paper is to examine the role of Kazakhstan's new capital in national identity formation. The research shows that Astana is a project produced by the government in order to reflect various discourses concerning the development of Kazakhstan and the Kazakh nation. However, it can be argued that these discourses are not always consistent, and in reality contradict each other. The research demonstrates that the Eurasian notion of multiethnic identity, which has been promoted as the state's key principle, is challenged by the developing idea of Kazakh nationalism. Noteworthy that both ideas are developed by the government, though the 'Eurasianism' has become an official discourse while the idea of 'Kazakh' identity is proliferated indirectly in coded metaphors and built environment. Both ideas are embedded in Astana: in its cityscape and in a general discourse of the city. On the one hand, Astana has become a symbol of independency, inter-ethnic harmony and Kazakhstan's prosperity. On another hand, Astana is often represented as primarily 'Kazakh' place, symbolizing an unconditional right of the Kazakh nation to Kazakhstan's statehood.

The contradictory character of the official discourse of national identity could be considered within wider theoretical framework as a contradiction between ethnic and civic forms of nationalism (Brubaker, 1996). As Brubaker (1996) suggests, majority of post-communist states develop in two ways: either as a civic nation based on the principle of equality regardless ethnic background, or as an ethno-state founded on the idea of superiority of one nation. In terms of this Kazakhstan is at the stage of deciding whether to continue to construct a civic society through Eurasian concept, or to develop the idea of ethnic nationalism. It should be noted that until now the government has been constructed a civic society through different aspects such as promotion of bilingual policy, equal representation of national minorities in legislative branch and through 'Kazakhstani' idea. Yet, after 20 years of the building of an independent statehood, Kazakhstan started to think about developing more certain ideas about the nation and national identity rather than generic 'Kazakhstani' idea. However, as the research demonstrates, Kazakhstan is still far from the transformation into ethno-centric state since despite the capital's move and changes in the landscape, there is no radical ideological shift happened until now.

Summarizing the project, it would be sensible to evoke the research's main question-**'Is Astana a nationalistic project?'** From the discussion above it can be stated that Astana is clearly a nationalistic project developed in order to promote the official ideas about Kazakh statehood and national identity. It can be stated that the research also has fulfilled its main motivation: the examination of the connection between national identity and built environment through the demonstrating of Astana's role as a centerpiece of the official nation-building project in Kazakhstan.

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## MEMOIRS RECORDED BY BALTIC GERMAN WOMEN: AMBIVALENT LIVES AND TIMES

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### Abstract:

This paper examines memoirs of Baltic German women through the light of theories of postcolonial scholar Homi K. Bhabha. The article focuses on reconstruction of Baltic German identity after significant political changes in the beginning of the 20<sup>th</sup> century.

The Baltic German history of that period is the story of disappointments and adjustments. The Germans had to face numerous losses, both moral and material. Under the circumstances, the preservation of self-esteem and self-identity were a key issue. The authors perceive the schizophrenic ambivalence of their position, the incompatibility of the past and the future growing ever more distinct, and they clarify their position through the text, overcoming the contradictions by writing. The textual smoothing of ambivalence helps the authors reject in their minds the uneasy sense of unhomeliness. The authors under review in this article - Natalie von Maydell and Agnes von Baranow – make use of different strategies, beginning with the declaration of superiority and evasion of painful topics up to the employment of the rhetorical devices of political propaganda.

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**Key Words:** Estonia, colonialism, Baltic Germans, memoirs

### Introduction:

Ambivalence is a term widely used nowadays. Originally, this term is derived from psychoanalytic terminology, but we commonly use the word “ambivalent” to describe something that cannot be clearly understood. In this article the concept of ambivalence will be viewed in a colonial context, where it can be used to describe the relationship between the lord and the serf. In this article I will demonstrate different ways that two Baltic German women use to textualize ambivalence in their memoirs.

The early German colonization of the areas in Eastern Europe is a topic which remains on the periphery of postcolonial studies. With regard to the definition given by Ashcroft of the term postcolonialism “being now used in wide and diverse ways to include the study and analysis of European territorial conquests” (Ashcroft, 1998: 187), we may question whether the German eastward expansion before the 15<sup>th</sup> century should be treated as colonial. The Baltic cultural space has received little attention in postcolonial studies, both at international level and in German studies (Lützel, 2005: 94). Besides the inapplicability of time and place, there is a fear that expanding the theoretical framework of postcolonialism would lead to arbitrariness. (Dürbeck/ Dunker, 2011: 18).

At the same time, there are solid reasons for implementing the theoretical framework of postcolonialism in the Baltic region. The Baltic Germans living in the territories of present-day Estonia and Latvia were local power holders for about 700 years. There was no Baltic German peasantry; all the Germans in Estonia and Latvia had high social status. They were either landlords in the countryside, or merchants and craftsmen in towns. Hence, their influence on the cultural history of these areas cannot be underestimated. It is also worth mentioning that in the 18<sup>th</sup> century the Baltic Germans themselves started to use the word “colony” to denote their activities in the Baltic, although the direct colonial bond between this region and the motherland had ended already in the 16<sup>th</sup> century. It was a “colony without empire” (Annus, 2007: 70). So a question can be raised: to what extent is it reasonable (considering all the constraints) to apply the descriptive models used in postcolonial theory to account for the past of the territories of Estonia and Latvia? The history of the Baltic States has witnessed several periods of colonial rule. Baltic scholars have examined two periods from the postcolonial perspective. Postcolonial discourse has been used in Estonia for the study of Estonian literature produced during the Soviet era in particular (cf. Kirss, 2006a, 2006b; Jaanus, 2006a, 2006b;

Salumets, 2006; Annus, 2007); but the works of Lydia Koidula (Peiker, 2006) and the ideas of the Noor-Eesti (Young Estonia) literary movement (Hennoste, 2006; Kirss, 2008) have also been examined. Tiina Kirss (2001), Tiit Hennoste (2003), Epp Annus (2007), Ene-Reet Soovik (2006) and Cornelius Hasselblatt (2008) have explored the general advantages and disadvantages of using postcolonial discourse in an Estonian context. Ulrike Plath (2008) has studied the reflections of German colonial discourse in the texts written by the Baltic Germans in 1770-1870. Over the past two decades, a lot of fruitful research into Baltic German literature has been carried out.

The analysis of Baltic German literature within the framework of postcolonial theory, narrative (Meier, 2000) or ideology (cf. Hennoste, 2006: 36) provides us with a number of concepts (e.g. hybridity, ambivalence, unhomeliness, other-ness, mimicry/mimicking, self-colonisation) which are worth testing for their applicability in Estonian and Baltic German contexts and which can give us important information about the prevalent cultural codes. The combative-political trend of post-colonialism is not relevant in the Baltic German context in today's Estonia, as it has no significant social bearing any more.

### 1. Autobiographical writing and ambivalence

Ambivalence refers to a state of being in-between. Within the framework of postcolonial discourse, it has generally been viewed from the perspective of the colonized subject, in order to let the silenced voice speak. According to Frantz Fanon the colonized person thinks every day about what he would do, how he would be if he were the one who had the power: "When their glances meet he [the settler] ascertains bitterly, always on the defensive: "They want to take our place.'" (Fanon in Bhabha, 1994: 44) In his dreams, the subordinate would wish to be like his lord whom he fears and hates at the same time. From the point of view of the colonizer, the subaltern other is an on-going project, the object of everyday efforts and endeavours. The subordinate is incomplete, still in need of shaping and moulding. Even when exercising power over his subordinates, irrespective of means, the lord advocates Christian forgiveness and charity at the same time. Deep inside he hopes for acknowledgement or even love for his efforts. The schizophrenic wish of the lord to be feared and accepted simultaneously is inevitable. "Ambivalence disrupts the clear-cut authority of colonial domination because it disturbs the simple relationship between colonizer and colonized." (Ashcroft, 1998: 13).

The subject of this analysis is the memoirs written by Baltic German women, in which the authors recount the critical moments in their lives. Both women come from noble families. The position of a Baltic German woman in a colonial society is harder to describe than that of a Baltic German man. If a Baltic German man embodies the sexual, political and economic lines of authority, which establishes him as a hegemonic institution, the status of a Baltic German woman is more multi-layered, more ambivalent. Although enjoying a hegemonic position of a Baltic-German lady on the one hand, she represented *otherness* on the other hand, because she was a woman and being subordinated to the social norms created and dominated by men.

The critical moments under discussion include the establishment of the Republic of Estonia in 1918 recounted in the text of Natascha von Maydell (1878-1970) and the resettlement of 1939 recounted in the text of Agnes von Baranow (1877-1968). By taking the perspective of the Baltic Germans and using a term by Hasso Krull, both events should be viewed as *biographical disruption* in the lives of these authors.<sup>464</sup> The entire value system accepted in Estonia that determined the functioning of the community and of the individual was shaken. The events of the year 1918 served as the final stage of the patriarchal relationship between the lord of the manor and the peasants, while the events of 1939 marked the dissolution of the Baltic German community as such.

If a person loses the opportunity to live his usual life, some kind of reaction will take place in him. One result may be external adaptation in a new environment. The person will learn the skills and customs required in the new surroundings and construct a new routine in daily life. At the same time, he sees it as a forced change in which he has no choice. Adaptation implies that the old body gives up

<sup>464</sup> Ene Kõresaar uses the term "disruption" in the biographical context in her analysis of memoirs written by Estonians. See Kõresaar 2005, in particular the chapter "*Katkestus kui kogemus ja kultuur*" (Disruption as an experience and culture), pp. 69-110.

a part of itself, the integrity of the body is attacked. The modification of identity takes place through a conflict, through the impact from new surroundings and through the reflection of the personality in these surroundings.

The events relating to the inception of the Republic of Estonia as well as the resettlement changed the principles and mechanisms underlying the functioning of society. Yesterday's real and authentic life was not the same today. There was the question about the justice or fairness of altered circumstances. In the following analysis it will be explored whether and how the texts reveal the ambivalent nature of the surroundings that shaped the self-concept and the group identity of the authors describing the dramatic events.

But first of all, it is important to explain the potential of autobiographical texts for this kind of analysis. Memoirs convey a filtered account of events and emotions. The linearity of memoirs as narrated stories is in contradiction with the ambivalence of the political events and the status of individuals that will be examined in the article. Furthermore, memoirs do not enable observation of changes in the author's attitudes during the progress of a certain event, as the genre of diaries does. The memoirs expose the identity of the writer at the moment of writing. Possible transformations of the identity during life are not regarded. What can be analysed is how the authors depict their life and what means they use to convert life into a text. The authentic feelings of a certain moment are out of reach for the author because of the filter of his or her later experiences.

Memoirs also contain the author's evaluations of the era, which in comparison with fictional texts are far more immediate. An important driving force in memoir writing is the wish of the authors to tell their story and the story of their community. The authors feel that in the new environment, people cannot fully understand the era, principles and attitudes represented by the authors and their ethnic group and generation. Autobiographical writing enables the authors to "set things in order", to smooth out ambivalence.

## 2. Natalie von Maydell (1878-1970)

Natalie (Natascha) Johanna von Weiss, the later von Maydell, was born in Strelna near St. Petersburg on 19 December 1878 into the family of Alexander and Alexandrine von Weiss. After marrying Baron Moritz Alexander (Axel) von Maydell (1869-1945) in 1899, she moved to Paasvere in Estonia, where her husband owned a manor.

The author wrote her memoirs "Ein reiches Leben"<sup>465</sup> ("A rich life") in 1947, after the end of an extremely difficult period of life. In the last year of World War II, she fled from the Soviet troops together with her sick husband. Her husband died in 1946 and Natascha von Maydell was also in poor health while she was writing, as she mentions in the introduction. However, she recovered from her illness and lived for several more decades. Baroness von Maydell died in 1970 in Bad Godesberg.

The year 1918 was traumatic for the Maydell family. The author's husband was deported to Siberia during the war, but he returned in the spring of 1918. The summer was spent at home in Paasvere manor, but in the autumn the family went to Tallinn and at the onset of winter they fled to Helsinki in fear of the Bolsheviks. However, at the beginning of February 1919, the family was able to return to Estonia and to their manor. As the Bolsheviks had occupied Paasvere manor in the meantime, the writer describes the devastation by the Bolsheviks, the burnt books and the spoilt furniture:

Lulla and others had tried to clean and tidy the mansion in Paasvere more or less, but it still looked horrible. The Red had slaughtered pigs and hens on our nicely polished tables. The library! All books found in the house had been piled up in one of the rooms and set alight. Oddly enough the wooden house wouldn't catch fire. They had held big parties in our house and entered their names in our guestbook. (Maydell 1947: 38)

But the changes were not only external: "We did not feel comfortable in our lovely Paasvere anymore." (Maydell, 1947: 38) Such an evaluative opinion can often be met in the texts of Baltic German authors of the period. Home had become unhomey in direct and indirect meaning. The

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<sup>465</sup> The original manuscript is with the family.

immediately apparent characteristics were outward damage, lost or spoilt commodities, violent intrusion into secure surroundings. Furthermore, an uneasy sense of anxiety lingered over the homestead, due to what had happened and what kind of people had been there. Even if all this could somehow be forgotten, the mess cleaned up and the rooms aired, there was something else in the air, something that was more difficult to perceive and that was getting out of control. The times and circumstances had changed people's attitude to Germans, it was painful and difficult to tolerate, and it deepened the feeling that the sense of home and homeliness had been lost: "Our people had changed. They avoided us because they feared that if the Red were to return, their enemies could report them for being friends of "barons"<sup>466</sup>." (Ibid: 38). And the writer adds: "So they would come only in the night, covertly, and bare their souls to Apa"<sup>467</sup>." (Ibid). With this sentence the writer smoothes out the unhomeliness<sup>468</sup>; the features of the former paternalistic way of life are references to the former and better times. Everyday life may have looked the same from a certain angle, but in the next moment the changed realities would manifest themselves one way or another. It seems worth pointing out that, under the circumstances, the fragility and inherent ambivalence of the Baltic Germans' position was not a merely transient phenomenon. Ambivalence had become a part of their lives. However, in most cases the reaction of Baltic German authors was not a true examination of the past but stubborn adherence to their argument of historical right (cf. Saagpakk, 2008: 955).

The description of the events of 1918-1919 in Maydell's text is inconsistent: the author describes the historical events and her husband's participation in these events and at the same time she also reports the details of everyday life. Mushroom picking, walks, children's parties and gossip alternate with descriptions of political history. Daily life issues that the lady could handle herself form a background to political events, but they do not interrelate. It is like a collage: on the one hand, the author continues the previous pattern of writing about mutual visits and pleasant meetings; on the other hand, "the great history" with its disruptions proceeds of its own accord. An example of such a transfer:

The girls attended dancing classes with their friends, once they all came to Paasvere together. A joyful company, there was a lot of dancing, music and singing.  
Eduard von Dellingshausen was in Germany: he was not allowed to return, he had promoted German nationalism in our homeland too much. Hence, other men had to be found, who were to save what was there to be saved, and one of them was Apa; and they used all their strength for the benefit of our homeland. (Ibid: 41)

The author mentions the decision made by the Knighthoods of the Baltic provinces on the 9 November, 1918 concerning the establishment of the Baltic State, subjected to the rule of Kaiser Wilhelm II. However, the latter could not acknowledge the gesture anymore, because he abdicated and fled: "In these days the emperor abdicated, the German state collapsed. Instead of a German Baltic State "Estonia" and "Latwia" emerged; these countries decided because of their hatred of Germans to dissolve all knighthoods and expropriate all manors" (Maydell, 1947: 41). These sentences reveal the essence of the changes taking place in those days from the perspective of the Baltic Germans.

As concern for the manors was a vital interest for the family, Maydell deals with it at length. She writes that the press has started a slander campaign against Germans: "Time and again it was demanded that the "barons", who were said to have enslaved the poor people for 700 years, must be dispossessed of their manors." (Ibid: 42).

In Baltic German memoirs, the evaluations of Estonians are often given as quotations from the press, not as expressed by the Estonians themselves. Citations from magazines are more

<sup>466</sup> Maydell uses here the Estonian word "parun" (baron), which is a general term used by Estonians until today to denote a Baltic German; however, the ending is grammatically wrong, which was common in Baltic German memoirs and quite often in fictional texts too, as the Baltic Germans generally knew only spoken, not written Estonian.

<sup>467</sup> In the text the writer calls her husband Apa, as he was called by the children, since the text has been written for children and grandchildren.

<sup>468</sup> Homi K. Bhabha's *Unheimlichkeit* Or Unhomeliness Denotes A Situation Where The Concept And Feeling Of "Home" And "Surroundings" Must Be Created Anew Because They Have Changed Due To A Colonial Situation (Bhabha, 2007: 13).

anonymous and remote, allowing writers to distance themselves from blame. Furthermore, the Germans that belonged to high nobility usually did not have Estonian friends whom they would consider as equal partners for discussing politics. Hence, the opinions of Estonians remain distant and undetermined, it is seen as something that the crowd demands.

When describing her husband, the author emphasizes his selflessness: “He was born with a sense of duty beside which his own personality remained in the background, and with a sincere interest in everyone whom he had to take care of.” (Ibid: 43). The description corresponds with the self-identity of a Baltic German man as a lord, who would always stress the priority of obligations (*Pflichten*) over rights (*Rechte*). Susanne Zantop has convincingly demonstrated that after the end of the 18<sup>th</sup> century German-language colonial discourse was imbued with a faith that if the relations of the colonizer and the colonized are determined by a paternalistic order, the subordinates will voluntarily accept such a relationship. A serf acknowledges the intellectual supremacy of the lord (cf. Zantop, 1997: 149-154). In the drama of August von Kotzebue “Die Negersklaven” (1796), serf Zameo tells his lord: “You have set me free and (therefore) I will always be your slave; I would have run away with bound hands, but you have captivated my heart – I will never leave you.” (Kotzebue, 1840: 229).

However, the political developments of the early 20<sup>th</sup> century showed that the era of the paternalistic order had ended; the supremacy of the lord was no longer accepted by the peasants. Such a change was hard to understand for Baltic German landowners because of their self-image as a “good lord”. The wish of former subordinates to become independent was seen as betrayal. The entire system of relationships underwent a profound change and the Baltic German lords became aware of the fragility of their position.

It is interesting to point out that after the change of circumstances the motive of the *caring father* retains its vitality as can be seen in the description of the peasants who would come to talk to the lord in the night. Bearing responsibility for other lives was not a mere need caused by the circumstances, it was a way of thinking of oneself and one’s status: it was part of the self concept and the group identity that had to be maintained by all means.

### 3. Agnes von Baranow (1877-1968)

Agnes von Baranow was born in Lehtse Manor in 1877 into the family of Freiherr (Baron) Friedrich Hoyningen von Huene. The Hoyningen-Huenees were not amongst the oldest families, but they certainly were one of the most numerous and wide-spread of Baltic noble families (cf. Hoyningen-Huene, 2001). After Agnes married Alexis von Baranow<sup>469</sup>, they had six children. In 1914, he bought Roosna (Sonorm) manor in Järvamaa where the family settled.

Agnes von Baranow left Estonia in the course of the resettlement of 1939. She lived in Warthegau, fled from there in 1945 and lived after that in various places, even in Brazil. Towards the end of her life she moved to live in Bad-Pyrmont in Lower Saxony, where she died on 7 November, 1968.

Agnes von Baranow’s “Mein Baltenland” was written in Grumbach in 1940, immediately after the resettlement (it was published in 1941) and it bears the character of the time. Describing the reasons for leaving the homeland, Baranow uses political propagandistic rhetoric. For instance, the author uses the word *Baltendeutsche* (Baranow, 1941: 265) that was later not used among the Baltic Germans at all, due to the national socialist background of the term. Hitler in her text is Führer who wants to save the Baltic Germans not from the Bolsheviks but from Estonians and Latvians. The latter are said to have satisfied “their desire for destruction with surprising persistence” (Ibid: 263). The Führer, however, is said to have set a new perspective and new goals in the life of Germans (Ibid: 263). The use of words by the author is almost militaristic. She describes the status of Germans in free Estonia using expressions like *deutscher Vorposten* (German picket) and *ausharren* (to hold out) (Ibid: 262). In this way the author emphasizes the notion of the struggle for life or *Lebens-Kampf*, which was an often-used motif in the Baltic German texts written in the first half of the 20<sup>th</sup> century (cf. Saagpakk, 2008: 962). Everyday life is described as a constant struggle for survival, which naturally adds to the value and respect for the persons fighting in the everyday frontline. However,

<sup>469</sup> The more widespread name form of her husband’s family is Baranoff.

real pain and sorrow can be sensed behind the combative rhetoric, and Baranow describes, for example, how dearly she loved Estonia at the moment of departure, how beautiful Tallinn seemed (Baranow, 1941: 264). The homeland is compared to a dying mother, but the paragraph ends with words that look forward to new targets for Baltic Germans. The national socialist rhetoric provides the author with ready-made solutions; it helps to create the will to adapt to new circumstances.

While the above reasoning can simply be regarded as a direct impact from the prevailing ideology; it is worth taking a glimpse of the more refined efforts for describing the self and the world in the text of Baranow. In her text the author discusses reasons for the necessity of resettlement as such and describes the position of the Baltic Germans in the period of the Republic of Estonia. Upon discussing the topic of *historisches Recht* (historical right) of the Baltic Germans, the author uses the technique of diminishing the traditionally hegemonic power of the Baltic Germans. Perceiving the negative implication of the status of the lord in the new times, the noble-born woman says that a Baltic lord of the manor is in essence a peasant, whose job and aims are similar to those of the peasant and it is not important whether the aim has been accomplished over the centuries by muscles or by brains.

For what else was a Baltic German lord of the manor than a peasant? He had the same aims, the same job – be it done either by muscles or by brains; the same relationship to the land, the same commitment to his work. (Ibid: 263)

The Baltic German lord of the manor as a peasant is the bearer of continuity and tradition, but he was ignobly attacked by the new elite in the period of the Republic of Estonia. The background of such kind of reasoning is the political repression during the Republic of Estonia, but also the dominant rhetoric of the *Blut und Boden* (Blood and Soil) ideology, which in essence was elite-hostile and celebrated the relationship of a simple peasant with the land cultivated by him. However, within the post-colonial framework, we can identify another level. Bhabha emphasizes that a person in a hegemonic position, enjoying the status and privileges of a lord, is aware of the questionable nature of his actions and his indebtedness to the cultural other. The desire for authorization of power leads to the question: “Tell us why we are here” (Bhabha, 1994: 101). Therefore the colonizer must affirm day by day that his behaviour is right. As for Baranow, the message of the equality of the peasant and the lord is not essential; the inequality of positions has been clearly stressed in the text. Presenting the lord as a peasant with brains is a strategy of self-defence. When the author emphasizes the lord’s intimate closeness to the land, it is driven by an instinctive feeling that a closer relationship to the land may create special rights over that land. The described line of thought offers a good example of the ambivalence of the author’s self-image, as on the one hand she is extremely proud of the distinguished history and position of her family, but on the other hand she senses a need for diminishing that position conditioned by the circumstances.

The above discussion supports Bhabha’s observation of the way of thinking of persons in a superior position, which have already been addressed above. The hegemonic party thinks about how the subordinate sees him. He wants to be respected. This will explain the paragraphs that the author devotes to the image of the Baltic Germans in the eyes of Estonians. Admitting her partiality when making judgments in this field, the author uses citations from Estonian newspapers as proof: “The Baltic Germans are leaving their homeland with dignity and determination [written in Estonian newspapers].“ (Baranow, 1941: 264). It is important to point out that the Baltic Germans to be resettled were in fact not the rulers or decision makers or big landowners in 1939 anymore. Their position had been conclusively changed 20 years before, but the attitudes and descriptions in Baranow’s text sound as if wealthy and thriving manors had been left behind.

Besides this self-justifying disposition, Baranow’s descriptions of the resettlement also allude to weariness and hopelessness. The author endeavours to maintain an ideologically correct attitude in her text and displays the enthusiasm expected from her about the impeccable organisation of the resettlement by describing the friendliness of officials and the festiveness of the gathering place. However, it all has a subtext. Namely, in addition to reflecting the mental attitudes towards the resettlement there is also the physical aspect. Being outside of the usual environment because of the resettlement involves not only mental but also physical challenge. We are not talking about violence

or starvation in the context of resettlement; it was a well organized departure. But the journey, inadequate hygiene, limited moving space, forced stay among strangers, tiredness, new smells, places and tastes are but a few examples of factors influencing the physical being, forming an inseparable part of the events experienced. The discomfort sensed by the body emphasizes the yearning for (former) stability.

The author describes the situation in the lodgings for women and children, where the ill and noisy children and lack of homely environment overwhelmed the women. She describes how apathetic mothers, incapable of interfering, watched their children make wild noise by dragging chairs along the floor. According to the author, they missed “homely amenities” (Ibid: 269), which made their situation so difficult to endure. Finally a doctor is summoned: “The poor doctor assured those in charge that the condition of the children was satisfactory, but all the mothers were hysterical.” (Ibid). Although the doctor’s visit to the lodgings is presented as a mere glimpse of the setting in the memoirs, it has an intensive and memorable effect. The loss of homeland in the course of resettlement is wrapped in the rhetoric of new tasks and a better future, and as long as there are activities and arrangements to carry out, nobody realizes the actual scope of change taking place. Passive waiting in common lodgings is symbolic; by being hostage to the current political situation, the author and her companions have been deprived of the right to decide for themselves. A Baltic German woman who, in Baranow’s text, is always first a Baltic German and only then a woman with needs and expectations, loses self-control for a moment. Neurotic symptoms, according to Freud, arise from the conflict of external expectations with internal wishes and needs. Here the author ascribes primary importance to social expectation, as she distances herself from the women who could not control themselves or the situation completely. Baranow does not describe her own feelings of hopelessness and internal emptiness, but she describes similar feelings of anonymous *other women* who are unlike her. However, despair and uncertainty can be sensed in this sketch, and above all is the question – what will become of us? How viable will that new colonisation project be, how homely will the new place become?

### Conclusion:

The Baltic German history of the 20<sup>th</sup> century is the story of disappointments and adjustments. The Germans had to face numerous losses, both moral and material. Under the circumstances, the preservation of self-esteem and self-identity were a key issue. The authors perceive the schizophrenic ambivalence of their position, the incompatibility of the past and the future growing ever more distinct, and they clarify their position through the text, overcoming the contradictions by writing. The textual smoothing of ambivalence helps the authors reject in their minds the uneasy sense of unhomeliness and not belonging anywhere that began to seep into their lives at a certain moment. The authors under review in this article - Natalie von Maydell and Agnes von Baranow – make use of different strategies, beginning with the declaration of superiority and evasion of painful topics up to the employment of the rhetorical devices of political propaganda. The texts show that the naturally arising question *why* is buried under self-justification, remaining without an answer. As the author writes about her life, the focal point is to give meaning for her altered life conditions. This will always be the question of power, so far as the colonial relationship is concerned. He who can make his truth dominant need not listen to the truth of the *other*. Autobiographical writing was the last resort of Baltic German authors to proclaim the superiority of their truth.

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## DETERMINANTS OF UNMET NEED FOR CONTRACEPTION TO SPACE AND LIMIT BIRTHS AMONG VARIOUS GROUPS OF CURRENTLY MARRIED WOMEN IN UGANDA

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### Abstract:

**Introduction:** In Uganda, fertility remains high at 6.2 births per woman (UDHS, 2011) and is currently stalling. Contraceptive use is low and women have an unmet need for family planning.

The unmet need for family planning is defined as the proportion of married women or those living in consensual unions of reproductive age, presumed to be sexually active, but are not using any method of contraception. These women would either like to postpone the next pregnancy (unmet need for spacing), or do not want any more children (unmet need for limiting), (Westoff 1988). In other words, the concept of unmet need for family planning refers to the discrepancy between individuals' contraceptive use and their stated fertility intentions.

**Objective:** The study examines the levels of unmet need for contraception in Uganda among various groups of currently married and cohabiting women as well as the determinants of unmet need for contraception among these Ugandan women of ages 15-49 years.

**Method:** The study uses data from the 2011 Uganda Demographic and Health Survey (UDHS). The data were filtered to yield 5418 women of age 15-49 years old who are currently married or cohabiting. Data analyses were conducted using the statistical software package SPSS. Analyses were done in three-fold to include univariate descriptive statistics, bivariate relationships and multivariate analysis.

**Result:** Women's age is very significant in determining unmet need particularly for spacing births (OR=0.873,  $p<0.01$ ). Women with low autonomy are more likely to have had higher unmet need for family planning than women with medium or high autonomy. The odds of having unmet need for spacing and limiting births increase as the number of living children increases. Richest women were about 42% ( $p<0.01$ ) less likely to have unmet need compared to the poorest women. Women who knew only traditional methods of contraception were 97% more likely to have unmet need for spacing births compared to women who did not know any method.

**Conclusion:** There is need to improve women's knowledge and access to modern methods of contraception. Lack of knowledge on the modern methods of contraception could explain the high unmet need among currently married women in Uganda. There is also need to provide income generating activities to currently married women in a bid to increase their disposable income which would make them access and utilize family planning services. The strategies could help to bring the high fertility levels down.

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**Key Words:** Unmet need, contraception, Married women, Uganda

### Introduction

The indicator unmet need for contraception is defined as the proportion of currently married women who do not want any more children but are not using any form of family planning (unmet need for contraception for limiting) or currently married women who want to postpone their next birth but are not using any form of family planning (unmet need for contraception for spacing) (Westoff, 1988). In other words, the concept of unmet need for family planning refers to the discrepancy between individuals' contraceptive use and their stated fertility intentions.

It is estimated that 41% of all pregnancies globally are unintended and 39% occur in Africa. The level of unmet need is particularly prevalent in sub-Saharan Africa (Ross and Winfrey 2002), where the ratio is nearly one in four (UNFPA 2004). In contrast, in the rest of the developing world,

less than one in seven of all married women are considered to be potentially at risk of unwanted pregnancy or have an unmet need for contraception (Maki 2007).

In practice, however, some women fail to use contraception and are at risk of having mistimed or unwanted births, induced abortion, or maternal death (Sedgh et al. 2007). Unmet need for contraception is one of several frequently used indicators for monitoring of family planning programs, and was recently added to the Millennium Development Goal (MDG) of improving maternal health (Bernstein and Edouard 2007). Some other indicators that are used in combination with unmet need are the contraceptive prevalence rate (CPR), the method mix, sources of contraceptive supplies, and reasons for not using contraception. Women who are using contraceptives are said to have a met need for family planning. Thus, the elimination of unmet need would significantly reduce fertility and improve maternal and child health (Sinding et al. 1994; Westoff and Bankole 1995). In addition, meeting women's unmet need offers a host of health and socio-economic benefits. For instance, family planning can assure the wellbeing of mothers and women by preventing unwanted pregnancies (Sedgh et al. 2007). It can reduce maternal mortality by reducing the number of pregnancies, the number of abortions, and the proportion of births at risk (UNFPA, 2008).

Uganda has the highest unmet need for contraception in East Africa but lacks the resources. According to the 2011 Uganda Demographic and Health Survey, about 30% of currently married women are using some method of contraception. The government sector remains the major provider of contraceptive methods for nearly half of the users of modern contraceptive methods (47 percent), UDHS, 2011. Uganda's health sector strategic plan for 2010-2015 addresses its policy on the procurement and distribution of contraception to all males and females but specially focuses on adolescents. Surprisingly, young people face refusal or restrictions when they request contraceptives from providers. Nearly one-third of the providers said that they will not supply contraceptives to individuals who are younger than 18, unmarried, still in school, and those without children, although the policy guidelines of Uganda have no such requirements. Therefore, the unwillingness to provide contraceptives due to cultural or individual biases illustrate the urgency of prioritizing young people's contraceptive needs.

In Uganda, where desired family size has been declining and couples want to space or limit the number of children they have, the unmet need frequently increases yet information on contraceptive methods, or where to obtain them is incomplete, or family planning services do not cover the entire population. However, this is somehow different for countries such as Zimbabwe, Namibia whose declining desired family size is in line with a decline in unmet need. Thus in such countries, respective governments have been able to improve supply of contraceptives and improve information on method availability and safety leading to an increase in contraceptive use and a decline in unmet need.

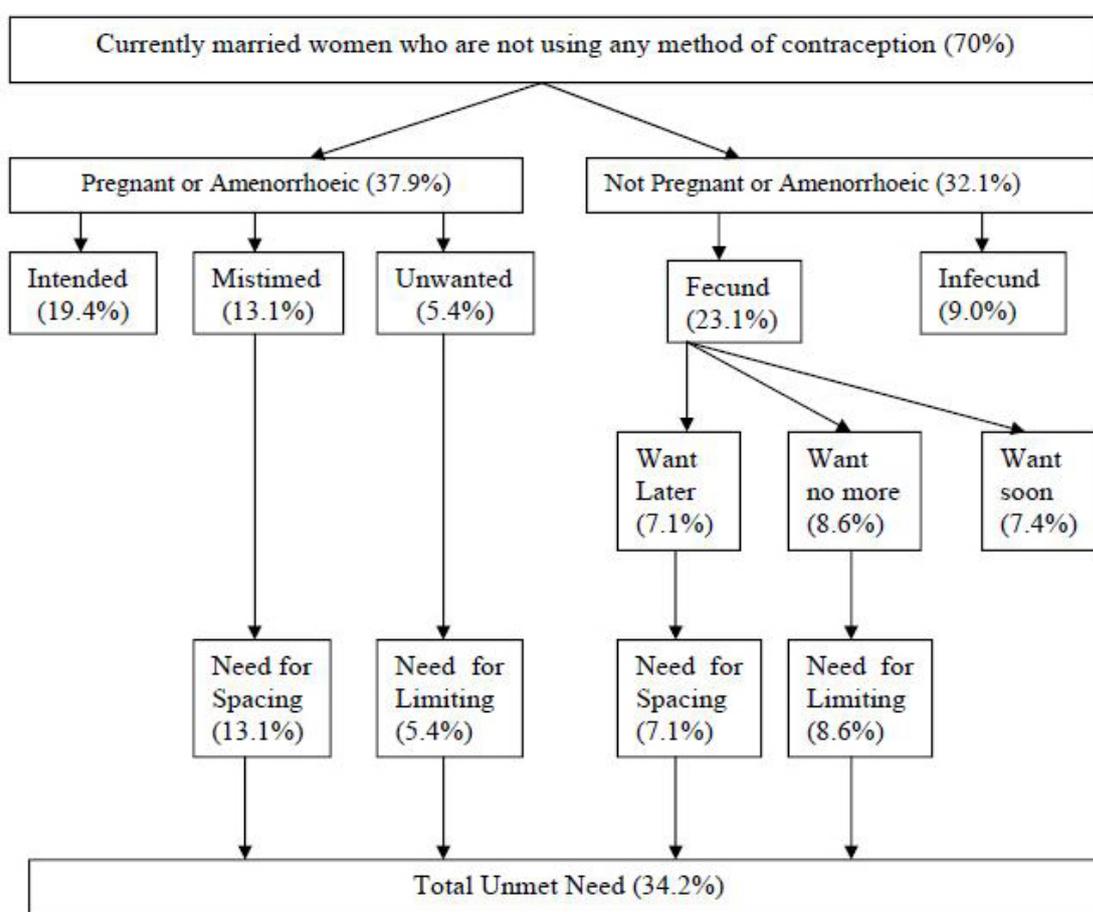
Results from the UDHS, 2011, show that the use of modern methods of family planning has consistently increased over the past decade, growing from 14 percent of currently married women in 2000-01 (excluding LAM) to 26 percent in 2011. About one-third (34 percent) of currently married women have an unmet need for family planning services, with 21 percent in need of spacing and 14 percent in need of limiting births. The government's target in the Health Sector Strategic and Investment Plan is to reduce the unmet need for family planning in Uganda to 20 percent by 2015. However, there is a slight decline in unmet need for family planning from 38 percent in 2006 (UDHS, 2006) to 34 percent in 2011 (UDHS, 2011). Important to note is the fact that the unmet need for Uganda in the year 2000-01, was 35 percent (UDHS, 2001). One would expect it to decline further but it rather increased slightly in the year 2006. This trend therefore makes it hard to be certain about whether the unmet need will further decline thereafter. In addition, the high unmet need in Uganda may contribute to the high fertility levels in Uganda. It is therefore a challenge to the government of Uganda to come up with measures to improve supply of contraceptives as well as information on contraceptive availability.

#### **Measurement of unmet need.**

Unmet need for contraception is generally measured using data obtained from married women of reproductive age group 15-49 years. The information used to calculate unmet need is from these sexually active married women who are not using any contraception and thus have a need to limit or space their births. A woman is first asked whether she is using any method of contraception, whether

for the purpose of limiting or spacing births. If she is using contraception, including traditional methods, she is considered not to have unmet need for contraception. Women who are not using contraception are then asked whether they are pregnant or amenorrhoeic (not menstruating, often due to a recent pregnancy or lactation). In the calculation of unmet need, pregnant or amenorrhoeic women whose pregnancy was mistimed or unwanted are added to the proportion with unmet need, even though they do not at the time of the survey have an immediate need for contraception, given their pregnancy. Women who are not pregnant or amenorrhoeic and are infecund do not have unmet need, nor do women who want to become pregnant soon. Note that the measurement of unmet need does not include an assessment of whether women want or intend to use contraception. Therefore the variable used in this study is definition 3 from the UDHS data set which measures unmet need for contraception. The chart below shows that the unmet need for contraception for currently married women in Uganda is 34.2%

**Figure 1: Categories of unmet need among currently married women aged 15-49 years of Uganda, 2011**



Source: Based on Westoff C.F and L. H. Ochoa (1991)

### Data and Methodology

The study uses data from the 2011 Uganda Demographic and Health Survey (UDHS). The data are filtered to yield 5418 women between ages 15 and 49 who are currently married or living together in consensual unions. For this study, both currently married women and women who reported to be living with their partners will be referred to as married women. Data were analyzed using the statistical software package SPSS.

Analysis was undertaken in three ways to include univariate, bivariate and multivariate analyses.

The univariate level of analysis includes descriptive statistics of the variables used in the study. The bivariate level of analysis consists of cross tabulations to determine the variation between the independent variables and unmet need for contraception. Finally, multivariate analysis includes two logistic regression models, one with unmet need for spacing as the dependent variable, and the other with unmet need for limiting as the dependent variable.

### **The Independent Variable**

The independent variables include demographic variables (age of women and number of living children), socio-economic factors (wealth index, women's autonomy, women's educational attainment, place of residence, and region of residence, respondent currently working and knowledge of any contraceptive method). All selected variables have been significantly associated with unmet need in other studies. (See Westoff et al., 1995).

### **The Intermediate Variable**

Previous studies have documented the effects of five aspects of women's autonomy on various reproductive health-related outcomes (Bloom et al. 2001; Jejeebhoy and Sathar 2001; Ghuman 2003; as cited in Woldemicael, 2011).

The intermediate variable for this study is the women's decision making autonomy in a home. Having the final say in the decision making processes is the highest degree of autonomy. As other studies indicate, the decision-making process, the type of decisions a person makes, and the person who makes the decisions, are important factors which can affect family processes. Thus, for this study, women's decision making is measured using five decision-making aspects. Questions asked in the survey included; a) Who usually decides how to spend respondent's earnings? b) Who usually decides on respondent's health care? c) Who usually decides on large household purchases? d) Who usually decides on visits to family or relatives? e) Who usually decides what to do with money husband earns? To all of these questions the responses are respondent, spouse/partner, respondent and spouse/partner jointly or someone else. A composite variable was computed from these five decision making aspects to measure autonomy. Respondents who mentioned that they or their spouse/partner jointly made any of the decisions were coded as 1, those who mentioned spouse or partner only or someone else were coded as 0. Results for the five decisions were summed and the autonomy variable with scores ranging from 0 to 5 was obtained. This variable was then categorised as low autonomy (0-1), medium autonomy (2-3) and high autonomy (4-5). It is inferred that if a woman has autonomy in any of these decisions then she has autonomy in the child bearing sphere as well.

### **Results**

The largest proportion of currently married women were in the age group 25-29 accounting for 23.9% while the highest age group 45-49 had the least number of currently married women (6.7%). Respondents with no child comprised of the least proportion of women (6.3%) while just over one-quarter of women had children. The richest category had the highest proportion of women accounting for 22.4% while the richer category had the lowest proportion of women. Half of the respondents had incomplete primary educational attainment while those with higher educational attainment constituted the lowest proportion of currently married women (4.4%). Three-quarters of the women reported to be currently working. Results also show that rural areas had the highest number of currently married women, close to four-fifths. Central one, Central two, and East Central regions had almost the same proportions of women accounting for about 10%. The Eastern region had the highest proportion of women (15.9%) while the Karamoja region had the lowest proportion of women (4.0%). Finally, in terms of religious affiliation, Catholics had the highest proportion of respondents (41.4%) while other religions, comprising of Buddhism, Baptists, Greek Orthodox, Jehovah's Witnesses, Latter-day Saints (Mormons), and Presbyterians had the lowest proportion of respondents (1.4%).

### ***Decision making and unmet need for contraception***

Table 1 shows a relationship between decision making in a household and unmet needs for spacing and limiting. Results show that unmet need is strongly related to measures of the woman's

position within the household. Women with low autonomy are more likely to have had higher unmet need for spacing than women with medium or high autonomy. However, the reverse occurred for those who wanted to stop child bearing altogether. A higher proportion of women with high autonomy had an unmet need for limiting births than those with medium and low autonomy.

Further, responses from women about the final decision maker for the five decisions were also compiled. Table 1 indicates that unmet need for spacing was low in situations where the woman made a decision in a house and much higher in cases where the husband made a decision. However, similar to the autonomy variable, unmet need for limiting was lower when a husband makes a decision compared to when a woman makes a decision.

**Table 1: Decision making and unmet need for contraception**

Decision making	Percent unmet need	
	Unmet need for spacing	Unmet need for limiting
<i>Women's autonomy</i>		
Low	24.6	12.2
Medium	20.3	12.6
High	18.5	15.3
<i>Decision Maker</i>		
Respondent	25.9	24.9
Respondent and Husband	31.7	20.1
Husband	34.8	19.2
Someone else	38.8	22.8

*Source: Computed from Uganda Demographic and Health Survey (UDHS), 2011*

*Note: The results corresponding to decision maker are based on multiple responses.*

#### ***Unmet need for spacing and limiting births***

Unmet need for spacing reduced with an increase in women's age. Women of age group (20-24) had the highest unmet need for spacing (32.6%) while the women of older age group (45-49) had the lowest unmet need for spacing (0.3%). However, unmet need for limiting increased with an increase in the woman's age. Age group (15-19) had the lowest unmet need for limiting (0.5%) while age group had the highest unmet need for limiting (23.8%). The same trend followed with the number of living children a woman had. There was a very low unmet need for limiting births to women with no children (0.6%) while it was very high for women with more than 7 children (37.1%). Women with low autonomy had the highest unmet need for spacing births. The poorest had the highest unmet need for both spacing and limiting births, 26.1% and 16.3% respectively. Educational attainment did not really have an effect on unmet need for spacing. However, women with no education had the highest unmet need for limiting births (21.2%) while those with higher education had the lowest unmet need for limiting births (5.9%). Karamoja region had the lowest unmet need for spacing births (11.2%) while Kampala region had the lowest unmet need for limiting births (4.8%). Surprisingly, women with no knowledge of any contraceptive method had the lowest unmet need for spacing. Further to note is the fact that women with knowledge of only traditional methods did not have an unmet need for limiting births. Overall, results in Table 2 below show that age groups 15-19, had the highest proportion of currently married women with no unmet need compared to all other age groups. In addition, women in the poorest category with no education had the highest proportion of women with no unmet need in the survey. The same trend followed for women who did not have any living children and at the same time for those not currently working at the time of the survey. Significant variables in the model at this bivariate level are age, number of living children, women's autonomy, wealth index, educational attainment, region of residence and type of place of residence, respondent currently working.

**Table 2: Unmet need for spacing and limiting births among currently married women by selected sociodemographic variables, Uganda 2011**

Variables	Unmet need for		Total unmet need	No unmet need
	Spacing and limiting births spacing	Limiting		
<i>Age**</i>				
15-19	30.8	0.5	31.3	68.7
20-24	32.6	2.9	35.5	64.5
25-29	28.2	7.6	35.8	64.2
30-34	17.7	18.9	36.6	63.4
35-39	12.1	23.4	35.5	64.5
40-44	4.0	27.8	31.8	68.1
45-49	0.3	23.8	24.1	75.8
<i>Number of living children**</i>				
0	12.9	0.6	13.5	86.5
1-2	27.8	1.8	29.6	70.4
3-4	25.2	8.5	33.7	66.3
5-6	16.8	21.1	37.9	62.2
7+	9.6	37.1	46.7	53.3
<i>Women's autonomy**</i>				
Low	24.6	12.2	36.8	63.2
Medium	20.3	12.6	32.9	67.1
High	18.5	15.3	33.8	66.2
<i>Wealth index**</i>				
Poorest	26.1	16.3	42.4	57.7
Poorer	22.8	16.3	39.1	60.9
Middle	20.7	13.5	34.2	65.8
Richer	20.4	13.9	34.3	65.7
Richest	14.8	8.1	22.9	77.1
<i>Educational attainment**</i>				
No education	12.9	21.2	34.1	65.9
Incomplete primary	23.4	15.5	38.9	61.2
Complete primary	25.4	8.9	34.3	65.7
Incomplete secondary	19.4	6.4	25.8	74.2
Complete secondary	23.5	2.0	25.5	75.0
Higher	13.1	5.9	19.0	81.0
<i>Type of place of residence**</i>				
Urban	15.8	6.8	22.6	77.4
Rural	21.8	14.8	36.6	63.5
<i>Respondent currently working**</i>				
No	23.3	11.4	34.7	65.4
Yes	20.0	14.2	34.2	65.9
<i>Region of residence**</i>				
Kampala	12.1	4.8	16.9	83.2
Central 1	15.4	11.1	26.5	73.5
Central 2	22.3	13.1	35.4	64.6
East Central	24.7	17.2	41.9	58.1
Eastern	22.4	15.9	38.3	61.6
North	27.5	15.0	42.5	57.5
Karamoja	11.2	9.3	20.5	79.5
West-Nile	27.9	14.8	42.7	57.3
Western	18.3	12.1	30.4	69.6
Southwest	21.0	15.9	36.9	63.1
<i>Knowledge of any method</i>				
Knows no method	12.7	9.9	22.6	77.5
Knows only traditional method	20.0	0.0	20.0	80.0
Knows only modern method	20.9	13.6	34.5	65.6
<b>Total</b>	<b>19.6</b>	<b>12.6</b>	<b>32.2</b>	<b>67.8</b>

Source: Computed from Uganda Demographic and Health Survey (UDHS), 2011; \*\* $p < 0.05$

Table 3 below displays results from a multinomial logistic regression model. Results suggest that women's age is very significant in determining unmet need particularly for spacing births (OR=0.873,  $p < 0.01$ ). However, women's age was not significant in determining unmet need for limiting. Number of living children and wealth index of a woman were strong indicators of the likelihood of having unmet need for both spacing and limiting births. The odds of having unmet need for spacing and limiting births increase as the number of living children increases. This means that women with a higher number of living children (5-6 children) have a higher unmet need than women with no living children. Richest women were about 42% ( $p < 0.01$ ) less likely to have an unmet need compared to the poorest women. The poorer women were 31% less likely to have unmet need for spacing compared to the poorest women. Respondents who did not complete primary education were about 34% more likely to have an unmet need for spacing compared to women with no education. Although women's

autonomy was not significant in either of the models, results do show that women with high autonomy were 4% less likely to have an unmet need for spacing compared to women with low autonomy. Kampala, Central 1, Eastern, Karamoja, West Nile and Western, are the only regions in the country that were significant in the model. Worthy to note is the fact that Karamoja region had the lowest odds for unmet need. Women in Karamoja region were 68% ( $p<0.01$ ) less likely to have unmet need for spacing births compared to women in the South West region. Likewise the same women were 62% ( $p<0.01$ ) less likely to have unmet need for limiting births compared to women in the South West region.

**Table 3: A Multinomial logistic regression model of some socio-demographic variables of currently married women and unmet need for contraception, Uganda 2011**

Variables	Unmet need for spacing		Unmet need for limiting	
	$\beta$	Exp( $\beta$ )	$\beta$	Exp( $\beta$ )
<i>Age</i>	-0.135	0.873***	-0.007	0.993
<i>Number of living children</i>				
0	-2.625	0.072***	-4.930	0.007***
1-2	-1.171	0.310***	-3.312	0.036***
3-4	-0.600	0.549***	-1.703	0.182***
5-6	-0.242	0.785	-0.740	0.477***
7+ (RC)	0.000	1.000	0.000	1.000
<i>Women's autonomy</i>				
Low (RC)	0.000	1.000	0.000	1.000
Medium	-0.114	0.892	-0.163	0.850
High	-0.042	0.959	0.004	1.004
<i>Wealth Index</i>				
Poorest (RC)	0.000	1.000	0.000	1.000
Poorer	-0.373	0.688***	-0.130	0.878
Middle	-0.412	0.662***	-0.553	0.575***
Richer	-0.235	0.790*	-0.504	0.604***
Richest	-0.540	0.582***	-0.552	0.576***
<i>Educational attainment</i>				
No education (RC)	0.000	1.000	0.000	1.000
Incomplete primary	0.295	1.343**	0.036	1.037
Complete primary	0.340	1.405**	-0.247	0.781
Incomplete secondary	0.135	1.145	-0.250	0.779
Complete secondary	0.848	2.334**	-0.756	0.470
Higher	0.303	1.354	0.052	1.053
<i>Type of place of residence</i>				
Urban	-0.053	0.949	-0.009	0.991
Rural (RC)	0.000	1.000	0.000	1.000
<i>Respondent currently working</i>				
No (RC)	0.000	1.000	0.000	1.000
Yes	-0.041	0.960	-0.077	0.926
<i>Region</i>				
Kampala	-0.717	0.488***	-0.557	0.573*
Central 1	-0.589	0.555***	-0.477	0.621**
Central 2	-0.149	0.862	-0.137	0.872
East Central	-0.052	0.949	-0.004	0.996
Eastern	-0.323	0.724**	-0.203	0.816
North	0.066	1.068	-0.277	0.758
Karamoja	-1.146	0.318***	-0.979	0.376***
West Nile	0.285	1.329*	-0.156	0.856
Western	-0.357	0.700**	-0.364	0.695**
South West (RC)	0.000	1.000	0.000	1.000
<i>Knowledge of any method</i>				
Knows no method (RC)	0.000	1.000	0.000	1.000
Knows only traditional method	0.679	1.972	-19.518	3.338E-009
Knows only modern method	0.250	1.284	0.319	1.375

Source: Computed from Uganda Demographic and Health Survey (UDHS), 2011

Nagelkerke R Square=0.274; Chi-square ( $\chi^2$ )=1391.222; df=54; N=5418

RC=Reference Category; \* $p<0.1$ ; \*\* $p<0.05$ ; \*\*\* $p<0.01$

Note: The reference category is "No unmet need"

## Discussion

Uganda is one of the countries in East Africa with the highest Total Fertility Rate (TFR) at 6.2 births per woman (UDHS, 2011). Low contraceptive use may contribute to the high fertility. Three in ten currently married women are using a method of contraception, with most women using a modern method (26 percent), (UDHS, 2011). Results reveal that unmet need for spacing reduced with an increase in women's age. Such a finding correlates with findings in Nortman (1982) and Westoff (1988) who both found a negative relationship between age and unmet need for contraception. Women in rural areas had higher proportions of unmet need for contraception compared with women in urban areas as was observed by Westoff and Pebly (1981) and Westoff (1988). This could probably be due to easier access to health facilities and health providers for contraceptives, easy access to media and information, and the high cost of living in urban areas which motivates them to space or limit births. Results also show that women with a higher number of living children say 5-6 had a higher unmet need for contraception compared to women who had less number of living children. This is expected since those with fewer children would want to have more children because they may not have achieved their desired family size yet.

It can be therefore concluded from the analysis that the main strong factors responsible for likelihood of unmet need for contraception are, woman's age, number of living children and wealth index. The study further shows that unmet need is lower for the richest women. This finding suggests that wealth is important for utilization of family planning services, and concurs with other studies (Khan et al. 2008; Ojaka 2008 as cited in Woldemicael and Beaujot, 2011) which show that women who are poorer tend to have a higher unmet need. There were higher proportions of unmet need among poorer women than the richest women. In addition, those who responded as currently working at the time of the survey had less proportions of women with unmet need for contraception compared to those who were not working. An implication is that a working mother would have better income which translates into her ability to afford contraception. Furthermore, women with more autonomy in the household had a lower unmet need for contraception. Based on the analysis, there is need to improve women's knowledge and access to modern methods of contraception. Lack of knowledge on the modern methods of contraception could explain the high unmet need among currently married women in Uganda. There is also need to provide income generating activities to currently married women in a bid to increase their disposable income which would make them access and utilize family planning services. These strategies could aid in bringing down the high fertility levels in Uganda.

## Study Limitations

The main limitation of such a study lies in the definition used to measure unmet need. For this study, the definition used incorporates women who are not using any method of contraception but would want to space or limit births. However, this definition does not tell us whether these women would like to use contraceptives or not. For some who may not want to use contraceptives, argue that the contraceptives presently on market may pose side effects to their health. Such an argument introduces another concept of 'unmet demand' which has to be dealt with together with unmet need in future studies. Secondly, the study could not add more information about men apart from their role in decision making yet reproductive decisions are not made by women alone, but are dyadic in nature. Men have a major role they play in contraceptive usage with their spouses. Their decisions on this may influence unmet need, (see Dodoo et. al., 1998). I also recognize the limitation in measuring women's autonomy as the questions used to measure autonomy are not directly linked to reproduction but rather used as a proxy measure of autonomy in the child bearing sphere.

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## INTERCULTURAL THOUGHT IN EDUCATION, MUSEUMS, TERRITORIES

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### Abstract:

This paper reports some results from a research conducted for ten months in 2011 in some cities of northern Italy. This was a qualitative and interdisciplinary research that have been conducted towards forty in-depth interviews with witnesses (men and women) included in the age group 25-40 years, immigrants in Italy for at least five years from different countries of East Europe and several other countries. The research has correlated various subject areas: intercultural pedagogy, museography, adult education, earth sciences, pedagogy of the territory, social education, cultural entertainments. Emerged from the interviews are references to projects based on the principles of intercultural education in some important museums of cities of center and north of Italy: Modena, Reggio Emilia, Bologna, Mirandola, Collecchio, Nuoro. In this paper are given large enough references to projects of various museums intended as opportunities for training, empowerment, social cohesion flanking really the work of schools and teachers in the transmission of a truly intercultural thinking.

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**Key Words:** Intercultural education, museums, cultural consumption, adult education

### Introduction:

The research had an interdisciplinary approach. Several disciplines are involved in the research. The *intercultural pedagogy* is a discipline that opens the minds of students, finds its sense in the daily experiences of children and adults, in all places of culture, shape the attitudes that enable young people to share rights (in the schools, in the places of lifelong education, in the green spaces of the city, in the places of culture). The *museography* is a discipline that deals with museums: the architecture, the creation of collections, exhibition solutions and technical spaces; in Italy is taught in undergraduate courses in architecture and in the Academy of Fine Arts. The *museography* is hand in hand with *museology*, the discipline which deals with the history of museums, and conservation aspects related to cultural heritage, analyzes the structure and operation of the museum, tells their nature and their social role. The ICOM (International Council of Museums) defines *museology* as an applied science that studies the conservation, education, the organization of museums, which begins to exist when museums become the mirror of the society that expresses the reflection of clear political will. The research aimed to know (through the testimony of a representative sample of young immigrants) if there are some cultural offerings offered by museums that follow the principles of intercultural education and if there are some cultural consumption welcomed by new immigrants in Italy. The expression *cultural consumption* means the set of messages, information, communication exchanges, activities, projects, living in a multicultural society, that determine and create an environment in which each of us understands a little more rooted historic and what is new and is able to integrate better with others. The museums, in particular, are places that can broaden their cultural action connection to the wider possible range of ethnic groups and subcultures present in society today. The in-depth interviews conducted was able to collect life histories relevant for the understanding of many walks of life characterized by migration and to approach the theme of cultural consumption that can form to the intercultural thought.

## 1. Qualitative research as a practice of intercultural thought and action

We must learn to think in an intercultural way, therefore we must consider culture as a system that helps to communicate the life experiences with the knowledge (and not creating obstacles to it) and also as a metabolic system that enables and ensures exchanges between individuals and between individuals and society (the culture does not prevent exchanges creating barriers). The intercultural thought in education is transdisciplinary in the sense that "claims the right opening to something ineffable and indefinable" (Panikkar, 2002, 27): intersects the various disciplines but also goes beyond, is interested in the existence of the subject, in the reality, in the cultures. Qualitative research in education is good for creating and experiencing intercultural situations: we collect information on life histories, we start and conduct extensive interviews; we share our witnesses for purposes of research. Conducting the interview creates community, participation, empathy. To start the interviews we moved to the sites of the migrant communities. After the interviews, we have known directly the situations and the cultural events of which the witness had spoken to us. The museums were visited, were known, were described in our research journals and in our field notes. The methods used for this search were the following: the in-depth interview, the direct search of documentation, the field observation, the description. The overall objective of the work was to increase the intercultural competence of teachers. Although it may seem indefinite, the expression "intercultural competence" is not vague. Spitzberg, for example, (2000, 375) suggests a general definition of competence in intercultural communication as "a valid and appropriate behavior in a given context.". Kim (1991, 259) provides a more detailed definition: it is "the total capacity that belongs to the interior life of a person to manage the functions key challenge of intercultural communication: that is, cultural differences, lack of knowledge, the way of being in a mixed group, the accompaniment in the experience of stress.". So, what does it mean for teachers to have an intercultural competence? It means many things: analyze situations, choose the correct mode of behavior, have a good motivation towards other cultures. In the Italian schools teachers and educators have learned how to design and set up concrete activities that facilitate understanding, respect and collaboration. In synergy with the practical activities of teachers, the reflection of intercultural education in recent years has built various ways to proceed. Intercultural competence can help to:

- improve with more media skills and ability to listen to each other, communication, conversation of the students with each other and with adults at school;
- get in touch with students, observe and interpret the class as well as their patterns of classroom management and relationship education;
- activate in the students the curiosity and the desire to know new things and unknown things;
- assess positively the languages that students know and speak, as vehicles of identity of belonging to a strong and privileged vehicles to enter in the new language and in the new culture, but also as a chance to positive confrontation for all;
- activate opportunities for contact between families and schools to create moments for help and recognize their respective roles;
- seek, as far as possible, authoritative and dialogic moments of sense in teaching.

It 'should be that teachers begin to ask ourselves what opportunities they can find (and the students themselves) out of the classroom to help them continuing training at the intercultural thought that school provides. As in classroom, out of school there are so many languages, there is a plurality of faces, there is a mixture of histories and cultural heritages of each. *At school* the teachers and the linguistic mediators take action to enhance the diversity of languages and cultures, *but out of school* this same plurality separates people, away, frightened. Today the linguistic and cultural universes in the cities are the most different and each is a world apart, which translates a particular vision of reality. This our research on cultural consumption understood as devices for teaching positive thinking for intercultural training is also an invitation to experience the will and the possibility of moving in the places, to weave relations of direct listening, description, not filtered knowledge. Intercultural pedagogy and teaching taught us that the meaning of the interculturalism is right here: in the meeting, in talking, in dialogue. The interculturalism, before being a relationship between

cultures, is a relationship between people. For this, observe and reflect on the cultural offerings of an area, forming to intercultural thought from a pedagogical point of view, can enable teachers and educators to learn develop teaching methods that make it possible to talk in multilingual and multicultural contexts of classroom, knowing that outside of school can find places that amplify the value of intercultural education proposal that the school undertakes to provide. The aim should be common: to teach kids to be understood by others, to try to better understand the languages of others.

What are the opportunities of cultural consumption have emerged from in-depth interviews of this research? Not all contacted witnesses, with which it has established a profound dialogue, referred to intercultural offers of museums. Just some of them gave answers that made it possible to know some intercultural paths offered by some Italian museums, which previously there was no news.

## **2. Proposals in the museums of Mirandola, Nuoro, Modena**

In this section we will make a summary of some references emerged from the in-depth interviews of some witnesses.

In Mirandola, a town in the province of Modena, in a small civic museum was organized for the native and immigrant high school students the project "Interculture as a portrait of a city." The museum of Mirandola collects and preserves the city's history from its foundation until the end of the nineteenth century. Recently, the museum was moved to a new site and the materials were divided into sections devoted to numismatics, portraits, religious commissions, archeology. It was made a didactic classroom that allows users to approach the museum in new ways. The boys involved in the first experimentation have been more than a hundred: for them was organized a visit to the museum as a mirror of the evolution and life of the community. Have been designed and built several simple but consistent tasks, targeted to ensure that the boys realize that in the artifacts of the museum they can find historical and spiritual roots that belong to the whole human race. The museum is proposed to schools and young people in the city to promote an adhesion conscious and critical to the models, values and symbols of their culture but also the knowledge of other cultures in an equally conscious and critical way. In the didactic classroom of the renewed museum were examined some themes: representation, identity, belonging, the journey understood as a path to the self-development, metamorphosis, the family and its evolution over time, the different types of families, stereotypes. On the methodological level, the activities carried out in the didactic classroom prefer group work, appropriate to promote the acceptance of differences and to generate participants' willingness to share knowledge and ideas and collaborate.

In the city of Nuoro, in the Sardinia island, the Museum of Art (MAN) was born with the intention of being an institution of the city and for the city, with a strong projection towards the territory of whose it is an expression, testimony and memory. The young Ukrainian girl who referred to the museum of Nuoro in her interview spoke of it as an institution "just right for cultural mediation". The MAN intends to enhance the art of Sardinian artists of the past and the present, but at the same time, one of its objectives is to encourage cultural exchanges. For example, the Ukrainian girl said that in the early months of 2011 has been organized a major exhibition of "The Spirit of Aboriginal art."

From the interviews conducted, the museum of Mirandola and of Nuoro, were reminded by the witnesses of the search as places in which to develop creativity, communication, movement and intelligence organization, the transmissivity of cross-cultural worlds. These first two examples tell us that museums can really propose offers and cultural consumption capable of educate to the interculturality with the objective of overcoming situations of overt antagonism and cultural exclusion that in Italy there have been for many years. On the one hand there was the high culture of the native population that still held repeating itself in the institutions responsible. On the other hand there was a myriad of cultural minority phenomena of the migrant groups, consisting of existential relations sometimes marginal, by original and creative appropriation of the linguistic code, re-elaboration of cultural forms more immediate and heartfelt: singing, dancing, music, poetry, painting, theater. Until about twenty years ago were left out of the planning of services many aspects of immigration: belonging to ethnic religious groups, cultural habits, social behaviors of different communities, the ability to use information technologies, the need for specific materials for learning and the transmission of the language of the country of arrival and other languages, preference in the use of

social spaces. Was taken for granted that the traditional public of the cultural consumption (ie the public of the natives) needed to read books and magazines at different levels and that instead the new immigrants did not have too these cultural needs. Today it is understood that the opposite is true and that libraries, museums, cultural centers, (in addition to the schools) can help a lot to minimize bias and provide practical ways of learning, in all stages of life, for social inclusion and to implement initiatives aimed at intercultural dialogue.

In an interview with a young woman (Maya) from Romania have been retraced some stages of her migration to Italy, through various cities, she spoken about some significant figures, about references to the difficulties related to poor language skills and references to the project organized by a museum, in which the girl Maya participated some years earlier.

The institution to which the young Romanian girl refers at various times in his testimony is a museum of ancient tradition of Modena (a city with high immigration rate) where the focus on intercultural education has been a constant by the schools and institutions since the mid-nineties. An important cultural institution in Modena, rooted in the civic life and identity, is the Civic Museum of Archaeology and Ethnology, founded in 1871, which documents the historical development of the area and of the city from the Paleolithic to the Middle Age. The new direction in recent years intended to redefine the role of the museum in a pedagogical dimension, proposing it as a place of encounter and exchange between people with different cultural backgrounds. They started from the belief that by opening the museum to the public of the new citizens can not be limited to a mere transmission of content. The operators of the Archaeological Museum have developed, approved and presented a project to improve pedagogical mission of the museum. The attempt was aimed at strengthening the characteristic of the museum as a place of encounter and intercultural dialogue and raise awareness of a small group of migrant citizens against the cultural heritage museum, engage citizens in welcoming immigrants and natives in the sharing of common positive goals for the city. Following this line of thinking and working, were selected thirty artifacts of the museum significant for understand the past of the city of Modena. In some meetings held in the museum halls, were presented thirty artifacts. The participants were asked to choose one of them, on the basis of reasons related to one's own life history and his own story of migration. Maya said that each participants chose the object talking with teachers and with the workers of the museum, which were build on memories, the specific interests of each, the affinity with objects linked to different places of origin, personal tastes. The participants had to write the reasons that led them to choose, accompanied by a brief autobiographical note. Maya has pointed out that to take part in this project and feel up to the other had been important for she to have attended high school in Romania. The choice of "her" object was connected to her previous training. Later, in the Museum, was conducted job in order to explaining the origin of the various findings: visual aids were used and prepared special forms for the description of individual objects. The following were presented to the participants of "certificates of adoption" of various objects, to indicate (in a symbolic gesture) a sense of direct protection of finding chosen, with a commitment to disseminate knowledge. These symbolic adoptions were documented by the photos of a photographer, who portrayed the various participants with the adopted object. The images, with the caption of the findings and some biographical notes on the migrant who adopted it, have been brought together and published in a *Multicultural Agenda 2010* for which participants reported holidays in different countries of origin. It is assumed that, having acquired knowledge of a general nature on the exhibition of the museum and specific knowledge on the adopted object, each of them would be able to provide an explanation "cascade" to friends, children, relatives, parents and conduct at the museum also other people in the community. The project has approached the recipients to local history through the active involvement and direct participation (with the adoption of symbolic museum exhibits). This involvement was the basis for further important result: some participants visited the museum yourself to learn more about the exhibit adopted, others have returned to visit the museum on subsequent occasions, sometimes together with the family. In Modena the pedagogical experimentation aimed at cultural consumption extended the museum has given good results: first, migrant communities in the area have become aware of the presence of the museum and its potential in the hours on Sunday and time off from work . It was also consolidated its mutual aid between the museum and the Permanent Territorial Centre, have been addressed and some intercultural issues identified new modes of reception and mediation with the hope also to expand the audience of the museum. All this from the

attempt to find some artifacts that contained elements cutting across different cultures. The interest in the issues of immigration has grown even pedagogical reflection since it was realized that it could help us all to look more critically the school, the educational and training contexts and society as a whole. The example of the cultural separation and also designed for people arriving from other countries is also significant for teachers and educators because it claims a positive assessment of the cultures of origin of children and adults, looking good relations between families and cultural institutions, including families and territory, so that it enhances memory and create more and more a common memory.

### **3. Proposals in the museums of Reggio Emilia, Collecchio, Bologna**

The project set up at the Civic Museum of Reggio Emilia expected to pay more attention to the public of the new citizens of Reggio Emilia, open the museum to an ever-increasing number of visitors from diverse cultural point of view, to propose the museum as a mental space where anyone represented could find their own stories. The objects and testimonies preserved in museum collections, placed in resonance with each other, allow you to develop stories around universal themes, in which everyone can recognize, with the goal of making the museum a means of transmission the memory of the local culture, but not limited to, a familiar and interesting to a community increasingly diverse in terms of culture. Museum professionals have identified several works on the theme of motherhood and birth; some contacts was made with cultural mediators and people have been identified to be involved. Then were initiated a number of meetings between the experts of the museum and a group of women who have chosen to document their own experience of motherhood in a video, to present selected works and make a common reflection on them, have been proposed interviews, video recordings, public presentation of the initial stages of the project, to experience the level of appreciation and sharing of intent in a seminar on the theme of motherhood. It was chosen a theme generative universally heard and well represented in the collections of the Civic Museums: the mother as the giver of life, the mother's body, as a transition between nothingness and being. In the initial phase have been identified works of museum collections on the theme of motherhood (from prehistory to contemporary age), considered as works of human intelligence, rather than as expressions of local culture. The selected objects were presented to participants during a first visit to the museum. From this and subsequent visits were created reflections and stories related to the experience of motherhood, interviews, narration, still and moving images that are going to put together a video in which the voices of contemporary women resonate with the works of the museum, witnesses of a universal feel. The choice of video to implement this reflection is due to the fact of being a direct intermediary, a language that can engage a diverse audience and to harmonize and bring together different contributions and views on the project.

The museum has promoted the active involvement of the participants, to accept the requests and suggestions for structuring the work, inviting them to express themselves in their own language so that, in a situation facilitated by the intervention of cultural mediators were able to transfer their experiences. The project has made the museum familiar to a group of people who, for the most part, do not even know the existence. It was developed a more accurate picture of the situation of the multiethnic city and were consolidated some operating modes to reach migrant communities. Working with foreign women has allowed the museum to communicate its presence in the city in a different way and engaging. It was emphasized about human relationships to foster personal growth and enrichment of all. In the future, the project team hopes that, thanks to this different way of training in cross-cultural perspective, can give birth to a new audience that reflects the multicultural reality of the city, of which the museum can be done interpreter.

In the city of Collecchio (near Parma) the Guatelli Museum, which documents the lives of workers through the objects of everyday life, has organized a project called " Plural Histories" The objective was to gather experiences and stories related to the objects of the museum, developed through the mode of the theater workshop. The museum was founded by Ettore Guatelli, who was fascinated by the stories that objects retain and tell: tools of rural culture, everyday tools, boxes, toys, shoes, ceramics, kitchenware proposed as evidence of human history. The operators of the museum have intended to draw attention to migrant and native women of all ages, identified outside the context of training through the involvement of a range of cultural, educational and the world of work

intended as intermediaries between the museum and the women themselves. Despite being a small museum, the operators were able to engage a wide network of institutions and individuals.

Attempts to provide cultural and educational, even outside of school, are favorable to return the children of immigrants new possibilities for the construction of a shared citizenship. neither sets nor refused. If it is true that the integration should be conceived as a process that extends over time and combines with milestones and critical steps of adolescent development, it is inevitable that the education system and the system of cultural offerings should be involved in some form tuning. In Italy in recent years, local authorities, small and large, schools, places associations and voluntary organizations have put in place monitoring efforts that required reflection and practical action to respond to new social and educational questions. The Italian way to integration will not underestimate the differences that make up the identity of migrants, by implementing educational policies and social acceptance, recognition, appreciation, a mutual exchange. From the perspective of integration, foreign groups present in a city or in a region should not remain locked in their cultural worlds. It 'task of pedagogical reflection and try to create some sense of communication steps to ensure that the students of a school and adults who live in the same territory at least be able to recognize each other.

The territory should become a shared space from which to write projects that tell the identity perceived and experienced; to build maps that can help to investigate the relationship between people and places, including private identity and public spaces. Try to improve the cultural offer of a museum on the part of those who have the management and accountability and, therefore, encourage the presence of visitors and immigrants enlarge the needs of its offer of culture means providing all users new tools to know that institution and its possibilities, as well as the area where the users and the establishment gravitate, is to build a common ground, a third space to share cultural, linguistic, aesthetic.

In the testimony of a girl from Albania (Dita) the positive episodes of arrival, integration, life in the new reality alternate with other less edifying signs appear to relations with the group of friends and supportive relationships and encouragement harvested within the family. We also find repeated references to the importance of training that had for her the participation in a project organized by a museum in Bologna.

In the testimony of Dita the Museum of Modern Art of Bologna (MAMBO) is a place of memory significantly. The museum has proposed a project directed to fifteen girls and boys including Italians and migrants in the age sixteen/twentyfive year-olds from youth groups in an area of the city particularly interested by migration: the District San Donato-Palestro. It is an important first step for a museum to address courses intercultural also extend outside of the museum itself, to an audience usually difficult to reach by age and cultural context. The project is significant and has requested requires an exchange of different points of view with other partners in the area, a comparison between different operating methods, a real get involved at the level of intercultural competence of the staff. The operators of the museum intended to facilitate access to the places of culture and cultural activities, the encounter with art and its expressive means to enhance the capacities of children and young people to orient themselves in the world of communications and the world of life. This meant also try to develop the potential of the museum as a place of dialogue and meant to promote active engagement of all citizens, using the artistic and cultural heritage as a possible source of exchange, creating a project based on shared values, methods and good practice. The hope was that in the long run was to establish a lasting bond between the museum and groups involved in the project, to increase the level of confidence with the places and with the languages of contemporary art. The operators of the museum have begun meetings with the leaders of the territory and the educators of youth groups. In her interview, Dita said that visits were organized to the museum and various training workshops at the museum, a number of meetings at the headquarters of the groups Katun and Katun Party and some lovely walks in the area. It was created a multimedia platform that contains contributions: photo, video, text and sound produced by the students. All this has meant that young people should develop good interpersonal relationships, which led to the continuation of meetings with participants on spontaneous initiative of boys and operators is to present the project and its results to the Quarter Pilastro, is to develop new and future types of intervention. In the Quarter Pilastro there are some different active forms of association with which the museum wanted to compare and confront. The district developed in the north-eastern sector of Bologna crossed the

ancient Via San Donato, starting from the first blocks over the bridge of the same name, the district begins with a portion of the historic outskirts of Bologna with a dense urban living. Following the meetings, the managers thought that the boys groups Katun and Katun Party could be potential participants. This first step has some pedagogical choices that are worth highlighting positive: a) actions aimed at supporting the integration were oriented towards a specific place (the District San Donato-Pilastro, in fact), taking account of certain systems of relations located in time and space and trying to favor a restricted size where interpersonal relationships can have an important value in the moment in which one experiences an initiative to then direct it to others. Therefore, the proposal and cultural action of the museum have transited through the activities and membership of the group that were already present and active (have not moved as an alternative to them). It was a way to recognize the value of promoting associations in fact have developed over the years a diverse basket of activities aimed at supporting the paths of immigrants in new contexts, and to facilitate their integration and minimize the effects of solitude and discomfort, providing resources, information, strategies to be used to address the problems. b) Actions aimed at supporting integration are designed for a group of guys with ethnic order to produce an enlarged sociality. Were organized some visits and a number of workshops with young people interested in the museum to facilitate the approach to the language of contemporary art, considered as a pretext for starting a process in which the eye and personal creativity are fundamental traits. Were also organized several meetings devoted to walks in the area, using the map of the district Pilastro. In this way, the participants identified the places that are meaningful for them, such as schools, libraries, gardens, urban installations, meeting points. c) Were also invited various modes of expression to share suggestions and personal stories, collecting them in a diary, made of contributions photographic, audio and video. Only later was designed multimedia support.

The intuition of the museum staff was interesting to consider the artistic heritage as one possible means of social integration aimed at young people of 16/25 years. From here they follow attempt to transmit the knowledge that the approach to the languages of contemporary art in the boys some devices may activate visual and cognitive useful to analyze and relate their experiences in the world. The artists are nourished by the same charm that people experience in everyday life: the difference lies in the eyes, in the way of seeing and reacting to stimulate and willingness to be amazed. Contemporary art is conceived as an engine to enable significant social and personal reflections, as a manifestation of thought sensitive to current issues and as a stimulus for the formulation of questions that call into question preconceived ideas and stereotypes. In the initial stage, the working group made up of members of the partner institutions that will be discussed on the issue of the relationship between young immigrants, the city and the country, talking about how knowledge of District San Donato-Pilastro. The idea of establishing a series of physical and perceptual relations between the environmental context of the neighborhood and some possible representation of it means that the kids do not see the neighborhood itself only as a container that accepts either people, structures, aspirations, but as an integral part of their intervention. Were found iconographic sources, were selected video and photographs, have been identified cultural resources specific to the area around which to structure an itinerary with future participants as: squares, gardens, public spaces, meeting places. The experience of the fifteen boys and girls in the group, their reactions to the opportunities received, listening to their experiences and personal stories were the nucleus around which to work and think, even to change the structure of the project in progress work and in moments of difficulty.

The proposal of the museum staff had time to seek together the group of boys and dialectical vital relationships with reality and to channel their positive energies about themselves, to set in motion mechanisms subsequent transmission of knowledge and understanding of their reality of all days. Museum educators have created opportunities for meeting and gathering beyond those provided by the project, for example by taking part in activities promoted and coordinated by Katun Groups (dinners self-financing, school parties, concerts, etc.). This additional effort has allowed that they develop stronger interpersonal relationships and, therefore, has improved the availability of the boys to the museum educators (who were initially seen with a little distrust). Gradually increased the involvement of young people in the project and to the neighborhood and the city. Have carried out some video interviews with the boys and girls and some photographic self-portraits, which are used as

a preliminary reflection on the concepts of identity and the relationship with the district. During the walks to the Pilastro and places of meeting groups Katun and Katun Party were shot some short, audio-video: the boys tell and are told through the places selected. For example, some have referred to the Garden "Lennon-Parker" where are plenty of seats closer to the ice cream kiosk to remember the first kiss, the wall next to the pool school "Ada Negri" where to go and chat in peace, from the pitch football matches in five, through dialogues, songs or short performance have been taken many photos in the places mentioned, were made notes and charts were written texts that collect suggestions and keywords raised from various places defined as products training. According to the operators of the museum, were obtained good results, with some tough times or critics who have raised points of attention for the design of future activities to provide long lead times for the development of projects like this, so as to allow greater knowledge of the specific user and that the museum wants to address; foster the development of interpersonal relationships between participants consider the importance of opportunities to meet targeted insertion of external educators within the group of children involved but allow at all stages of the project moments in which institutions, educators and participants can get to know each other, to establish a common language and a common feeling, and establish a relationship of mutual trust.

### **Conclusion:**

The aim of the research was to know and spread some experiences that can constitute reference points for positive individual and collective training, along with other real and virtual elements, structure and influence the views, attitudes, responses of children and adults. The projects carried out in some museums are really because of cultural infrastructure build knowledge, meaningful connections with new technologies, using the language of art, have links with communication and with the movement of peoples. On the other hand, the experiences encountered through the in-depth interviews of this search, are also superstructures because they produce a new collective imagination, new beliefs, new mythologies, new ways of doing and transmit the culture. The system of cultural consumption that emerged from the research is closely linked with other systems that make up the company, including the school: the challenge for people involved in education, it is to be able to make them talk, make sure that are mutually exclusive. Able to find the meaning and value of the intellectual, cognitive, aesthetic, communicative each. The museum may be true representations of the encounter between cultures, real spaces of convergence and dialogue, the physical environments of the discovery of mutual influence and also the complementarity between men, between cultures, between human groups.

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## **AROMORPHOSES PHENOMENON IN THE DEVELOPMENT OF CULTURE: A VIEW FROM THE STANDPOINT OF NEURAL NET THEORY OF COMPLEX SYSTEMS EVOLUTION**

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### **Abstract:**

It is shown, that investigation of cultural aromorphoses allows development of non-Darwinists concept of evolution of complicated systems. Complicated system of any nature may be considered as analogue of some neural network. At first stage of evolution the structure of correspondent neural network is changed without significant variation of properties of separate elements. At the next stages of evolution reconstructed network give possibility for appearance of elements of some other nature.

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**Key Words:** Evolution, Complicated Systems, Neural Networks, Aromorphoses

### **Introduction:**

The nature of evolution of culture is far different from homogenous, as confirmed by numerous historical examples. One of the most discussed in this context is the "Greek miracle" - a splash of creative and other types of activities of one nation, inexplicable rapid appearance of almost all the attributes of modern civilization in a relatively small area.

"This intellectual revolution seems so sudden and profound that it was considered inexplicable in terms of historical causality and therefore scientists spoke of the "Greek miracle" the mind (logos), was like suddenly freed from the myth, just as the veil falls from the eye [1]".

Analysis of the different points of view on the phenomenon of the "Greek miracle", as well as other aromorphoses that took place in the history of culture (and beyond), was carried out in [2]. There was an attempt to interpret the appearance of such aromorphoses from a position of heliobiology, i.e. for the explanation of the phenomenon extraterrestrial factors associated with variations of "space weather" were involved.

The argument for this point of view in [2] is also based on the following considerations. B.M.Vladimirsky notes that almost simultaneous occurrence of mathematics, logic in the modern sense of the word, philosophy, and the rudiments of science does not exhaust the content of the "Greek miracle".

Precisely at this time a particular form of political system - democracy appeared, it is possible that no less important was the emergence of ethics as a system of independent views. This also includes fireworks of historically fundamental cultural ideas, in particular, the philosophy of history, as well as heyday in the arts. Those days saw the birth of fiction, laws of perspective were opened in Performing Arts and it is worth noting that the plays of that time are being staged nowadays.

However, the most significant for the point of view in [2] is that such outbreaks of creative activity occurred almost simultaneously in regions quite distant from Greece. "Intelligent life in India in VII-VI centuries BC was a picture of dramatic rise and growth, like the jungle in the rainy season" [3]. China Chunqiu period (722 - 435 years. BC), "Numerous sages raised, like a swarm of bees, all scientists [hundred schools of thought] tried to argue with each other". [4]

The considered phenomenological picture can be summed up with a quote from [5]:

"China and India have progressed or experienced setbacks in the same rhythm as the West, as if all of humanity obeyed the dictates of some primary cosmic destiny, in comparison with which all the rest of his story would be minor."

Karl Jaspers emphasized [6] that this period was also a time of simultaneous appearance of major religious reform movements. "The founders of Buddhism and Jainism in India were contemporaries of Kong Zi (Confucius) and Lao Tzu. Iran began to develop his theory named Zarathustra, also at the same time the Palestinian prophet Jeremiah stood out – they were almost contemporary to Thales and Anaximander, "[2]. Karl Jaspers called this the height of intellectual activity "axial age", and now this name is a common term. However, the generally accepted explanation of this phenomenon still does not exist. It is partly recognized that a very serious problem [2] is to find some kind of "trigger impulse" that instigated the global surge of creative activity. (The concept of "cultural borrowing", as well as the concept of influence of climatic factors have been criticized in several works, including [2], and considering them will serve no purpose.)

There are several interesting studies describing attempts to interpret the phenomenon of cultural aromorphoses, in particular, the Greek miracle from different positions.

It is shown than nature of cultural aromorphoses may be interpret on the base of neural network model of evolution of complicated systems in this report.

## **Main part**

### **Background:**

There is a model that considers the phenomenon as the result of a combination of specific social and psychological factors that freed the creative energy which had existed in society in a latent form described in [7].

The basic thesis [7] is: every more or less normally functioning society prevents any spiritual creativity not affiliated with any practical activity, and, thus, inhibits the development of culture. For this reason, flourishing of culture occurs very rarely, which is why every time it should be associated with a temporary weakening of the system that protects society from too rapid renewal. "

The concept of A. Zaytsev deserves serious attention because it reflects objectively existing **innovative resistance** inherent in any society, first of all caused by individuals' desire to maintain stability (or sustainable development) of the environment familiar to them. However, the interpretation given in [7] cannot be considered complete.

First, axial time of Karl Jaspers cannot be regarded as a unique phenomenon. For a variety of factors, that are also noted by many authors, including [2], the Renaissance, the "age of genius" (15 and 17 century) fits in the same row.

Moreover, the rise of scientific thought, which came on the turn of the 19th and 20th centuries, can also be interpreted from considered positions [8]. Of course, this rise was slightly blurred, mainly due to the current attitudes in public about the linear and ongoing progress. But the subsequent history, in particular, the stagnation of creative and scientific activity [8, 9], which began in the second half of the 20th century, refutes it.

As emphasized in [10] on the basis of R.Gordon's, Cambridge, scientific and technological progress is in deep crisis and this is confirmed by comparative studies. Most of the technical inventions, according to the rating "The greatest technical achievements of the twentieth century", National Academy of Engineering have been made prior to 1950. Only three of the twenty most important inventions relate to the period after the Second World War - semiconductors, computers and the internet.

The main argument against the position of A. Zaytsev related to elaboration "... not related to any practical activity," which is contained in the above quotation. Simplifying, according to Zaytsev, the community prevents overly rapid renewal where this renewal does not bring material benefits. However, this inhibition occurs even when potential gains are evident, and, moreover, when there are institutions designed to stimulate the development in the society (at least in the military-technical field). In matters of practical importance, of course, it refers to a period of stagnation of intellectual activity, mainly scientific and technical work in the second half of the 20th century [8-10].

B.M.Vladimirsky [2], we note once again, attempted to interpret considered phenomenon from the point of cosmic effects on the biosphere. This kind of representation originates in Chizhevsky's works [11], opinion on which is mixed.

However, for the purposes of this paper the competence of concept [2] is not significant. In any case, there must be a mechanism that converts the external action (even if there were one) into the set of phenomena that make up the "cultural aromorphosis."

This mechanism is still unsolved. Moreover, it can be assumed that the problem of cultural aromorphoses allows to answer questions of general scientific nature, in particular, to understand whether there is a naturalistic view of evolution, alternative to Darwinist. (Proving is the goal of this paper.)

This question is more than relevant. As noted in [12], based on the results [13] and some other paleographic studies, the situation concerning the origin of life on Earth is highly debated: "Ironically, the Humanity knows about biogenesis less than it used to 40 years ago."

Studies that were carried out during this time have shown inconsistency of the previous point of view based on the idea of spontaneous mutations (correctly - variations of properties) of macromolecules in certain "primordial soup." The main problem is that the occurrence of the genetic code, according to the concept of "fixed mutations that create benefits for the carrier of genetic / protogenetic information" needs extremely long period of time (longer than the lifetime of the Galaxy, in accordance with simplest estimations mentioned in [12]).

In addition, at this stage of the research, it became clear that "protobacteria" cannot occur by itself. The organism of any type can and does exist only within certain relatively closed ecosystem, which makes stronger case [12] about the need of holistic appearance of such a system. Somewhat simplifying, we can say that evolution could not have followed the path of individual organisms' development, and the relevant ecosystem could only occur at once, abruptly. (For a more detailed criticism of the dominant point of view on the mechanism of evolution in popular form read the [12], p.241-244.)

The conclusion, which is specified in [12], is as follows. "For today, there is no reasonable exactly working hypothesis, to explain the biogenesis and start of mechanism of biological evolution."

However, one should take into consideration that all existing ideas about the mechanism of evolution, somehow repelled from the concepts that go back to Darwin's theory. The common view for today is based on the following principles set forth in [12]:

1. Only genetic information is inherited.
2. Genesis of species has mutational nature, i.e. new signs are due to modifications of the genome under the influence of external factors (radiation, chemicals, etc.)
3. Mutations occur at random.
4. Mutations that are favorable to the "survival" persist.

Darwinist view of evolutionary processes emerged first and initially convincingly described the observed processes. Therefore it is quite justified to apply it not only to the interpretation of the origin of species, but also extend to other areas, in particular, apply to the study of social processes, as well as to the origin of life.

Consequently, the problem stated by the author in [12] can be considered from a quite different angle. Specifically, the question is, can anyone suggest a **natural scientific** concept of evolution, an alternative to Darwin's.

### **Neural networks and evolution of complicated systems:**

Paradoxically, the answer can be found in the analysis of the problem of cultural aromorphoses. A neural net model of the noosphere, that has much in common with the concept of "information objects" discussed in [12], is proposed in [14].

The human brain consists of individual neurons, each one of them by itself has no signs of consciousness. Intellectual activity appears as a result of the collective effect: neurons, forming a net create a different quality.

The theory of neural nets [15, 16] historically appeared from attempts to understand the nature of thought. For this purpose, in particular, the concept of the formal neuron was developed, and now it is widely used for various purposes. Nets, which consist of formal neurons, also entail a different quality. Functions of separate formal neuron are very simple - to change the state of the binary outputs depending on the amplitude and sign of the signal at the input. However, in total, i.e. forming a net, neurons can perform much more complex operations. The most studied is the pattern recognition, which is used in many applications [15, 16].

Neural net model of noosphere [14] establishes a correspondence between the neuron and the individual (single person), the existing information links between individuals assign to the nerve fibers connecting the individual neurons together. (Note that in the theory of neural nets it is not specified that the signal should have any particular nature, for example electrical.)

Used analogy is eligible for the following circumstances. The communication channel, when the information does not pass through it, does not affect the operation of the system. Therefore, it would be enough if it existed only at the time when the signal passes. Therefore, the transmission of information from person to person can be regarded from the analogy with the transfer of the signal from one neuron to another. In [9] it is also shown that such links do have some weights (or rather their analogues).

Formed by a set of individuals analogue of neural net generates a new quality, which can be identified with the noosphere as a whole (or its certain relatively independent piece, for example, ethnical structure). With a certain degree of conditionality it can be said that it represents a kind of super-intelligence. However, it is more correct to say that any of the individuals are involved in processing information at least on two levels - at the individual and the over-personal.

It is acceptable to talk about over-personal level of information processing for the following reasons. Just as an individual neuron does not affect the mental activity of the brain in general and particular individual only in a very small extent, can affect the processes that determine the performance of the neural net as a whole.

Let us recall that the neural net is tolerant to errors, and stays unaffected by a loss of a single neuron. With age the brain loses up to several tens of percent of the cells, but the system as a whole retains the ability to function. From the point of view of the theory of neural nets it is interpreted through a well known fact that information is not stored in a separate "logic cell," but in the network as a whole. From this perspective, the neural network is similar to a hologram (a part of the hologram can restore the same image as a whole, but with lower quality [15,16]).

Another important property of the analogue neural nets that exist in society, is their rapid evolution. In other words, **the whole network can evolve without changing the properties (and even the parameters) of a separate element.** This statement was confirmed by simple mathematical models constructed in [17].

Further, if we accept the conclusion of the existence of an analogy between the community and the neural net, from the above it follows that the "over-mind" can and must evolve much faster than individuals, i.e. its components.

At a certain stage of evolution, a higher level of information processing begins to affect the underlying. With some exaggeration, the analogue neural net begins to "independently pick" component elements that have the desired properties. Hypothetically, this can take place until the emergence of individuals with communication channels with higher levels of processing and storing information (it is possible that on this basis the phenomenon of the prophets and other individuals who made significant contributions to the history of civilization can be interpreted.)

However, at this stage of research it is safe to say only that the analogue of neural net in the process of development can reach levels that can filter necessary items.

This approach allows us to interpret the appearance of cultural aromorphoses based on the following mechanism.

1. The primary is the evolution of analog neural net and its elements are individuals (there are no means of monitoring the process of this kind, because there is no verifiable way of reading data from an over-personal level, so the question of the stages of evolution is hidden).

2. In the next step a higher level is converted into a filter that "chooses" necessary items. The mechanism of this selection is not clear yet, but we can say a priori that its speed is much higher than determined by random mutations, because there is an additional factor that generates the desired effect on the elements of the system and fixing definite changes.

3. The emergence of "new" elements can be massive, because the above factors affect the system as a whole and this determines the abrupt nature of the observed changes.

Appearance of the considered mechanism can be seen from the example of development of human communities. Moreover, many features of this mechanism are almost obvious, since the emergence of the urban environment requires the appearance of people with hitherto unknown skills, etc.

### Conclusion:

The existence of a mechanism alternative to the Darwinian point of view can be clearly substantiated by examples from the field of social science. However, there are serious reasons to believe that the mechanism is common. In particular, it can be shown that many macromolecules also have neural net properties. This suggests that the protobiological evolution could occur with the same mechanism.

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## INDIAN INQUISITION AND NATIONAL PRIDE

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### **Abstract:**

In the context of Portuguese maritime expansion, history shows that there was a well delimited intention to evangelize the territories that fell under Portuguese flag. In this effort, it is usually well accepted that Royal Patronage had used Inquisition in these territories to control the incipient Catholicism in them, especially till the end of 17th century. Some of the most famous events took place in Goa, India, where the Inquisition growth is said to impose a new mode of culture rooted in Portuguese standards. There, as a reaction to the Portuguese standardization effort of Christianity, Nobili and Fernandes, two Jesuit Missionaries, We present in this research an alternative explanation for this phenomena, stating that the growth and strength of Inquisition in India had more to do with National pride by both involved (Portuguese and Indians) and much less with religious or theological issues.

**Key Words:** Patronage, Mission, Jesuits, Goa, Nobili

### **Introduction**

Since the 17<sup>th</sup> century, when the Tamil Nadu Madurai Jesuit Mission was started by Fernandes and Nobili<sup>470</sup>, both jesuit missionaries, there have been discussions about the pertinence of the method of Nobili, to which Fernandes openly opposed himself and started a series of accusations to the Inquisition Court established in Goa, all valid from a certain point of view and false from other. There was no falsehood on their dissension. We, of course, cannot judge none of them nowadays, making use of all the results of further research and reflexion that we made since then.

What we can have and give are different perspectives about that dissension, as in fact we are still trying to solve it<sup>471</sup>. Nevertheless, one forgotten issue that seems to have played a major role then, and maybe is still playing its role now, is the cultural identity. Of course we are not saying that this identity was never brought to the table where we are still making our appreciation over the facts that happened then. But we can affirm that the point of view from which the evaluation of this squabble, which we may explain in time during this small article, is taken from cultural perspectives, and it is indeed hard to try comprehending them (Fernandes and Nobili) without putting in our appreciation our own cultural start point. By doing so, we act negligently with their own cultures, and because of this, cannot anymore do any valid evaluation about their points of view.

In this paper, I wish to remember some of the cultural points of view of the directly involved in such squabble (Fernandes and Nobili). I hope, by trying to raise this points, that further evaluations on this hard subject will be less vitiated by our own culture and will approach to the kernel of the question, which should be theological pertinence of the Nobili's missionary practices and proposals. At the bottom, lays with no doubt the problem of National Pride as a key factor to the formulation of the accusations themselves.

I also hope that, by doing so, further examinations over the missionary practices of nowadays will be improved, and we may be able to use or discard Nobili's related practices in a more precise

<sup>470</sup> Roberto Nobili, a Roman (or Tuscan) Jesuit Missionary, arrived at Madurai through Goa in 1606, to work in that region with Gonçalo Fernandes, who was already there. NOBILI, Roberto de. *Preaching Wisdom to the Wise*. Institute of Jesuit Sources, St Lois: 2000. p3. Madurai is a city, then capital of a kingdom, located in southern region of the nowadays Indian State of Tamil Nadu.

<sup>471</sup> Specially during the 1970's and 1980's, a series of works about Nobili had been written, and there is an dedicated Institute in India dealing mostly with 'Nobilian' research, located at Loyola College in Chennai, Tamil Nadu. It is called "De Nobili Research Center".

way. This would mean separating well in our propositions for the reality of world today what is Theology, Soteriology, Culture, Adaptation, Inculturation, Transculturation and many other subjects, that on the missionaries approaches of today are, sometimes, confused. Maybe this is the time to stop trying to validate (or invalidate), let's say, Soteriological aspects from a Sociological point of view. Soteriology may be evaluated, naturally, from a Soteriological point of view. And Sociology may play a parallel role in this evaluation, as a auxiliary discipline, but not as the key to try understanding a question that is, on its bottom, Soteriological, at least in the opinion of both involved, Nobili and Fernandes.

### 1) Settling the ambience

The origin of the Madurai Mission is an direct output of Portuguese history in India. And the Portuguese history in India is, by its way, an output of Portuguese history as a whole. We may mark that the history of Portugal as independent State, from the XII century on, is also a history of: i- expansion of territory and ii- establishment of Catholicism within this original and expanded territory.

In fact, the first Portuguese King, Dom Afonso Henriques, was acclaimed as such after playing a major role as a military leader in the context of the reconquer war, that was the war in which the Muslims were expelled from the Iberia, the peninsula where Portugal and Spain are located<sup>472</sup>. After the expelling of the Moors, as the Muslims populations occupying Iberia were known, Portugal and Spain started to expand their territories in search for new trading routes with the Eastern countries, where silk, spices and other products came from<sup>473</sup>.

In such search, they conquered, during the next two centuries (from the XIV to the XVI) nautical knowledge with no precedents in Europe, and attained the position of the richest countries in that continent.

As a collateral effect, they also (re-)discovered America, and occupied territories from the regions that now may be known as Florida (in the United States) to the Patagonia, in extreme South of Argentina and Chile. They were trying to reach India from a route towards West, as the knowledge that Earth was round spread to some nautical experts, particularly Cristopher Columbus, who was the first European in many centuries to do such a journey with the support of a State, Spain<sup>474</sup>.

The Portuguese went, majorly, to the East, step by step surrounding the African continent and finally reaching the Indian shores in the late XV century, in the ship of Vasco da Gama<sup>475</sup>. Just after him, obeying per it seems direct and quite precise orders and directions, Pedro Álvares Cabral, another portuguese navigator, leaded one fleet from Portugal to Northeast Brazil, taking possession of that country in the name of Portuguese Crown, and then moved directly towards India. In doing such a longer trip, Cabral took, nevertheless, about half the time Gama took just to surround Africa and arrive in India<sup>476</sup>. That points us that, almost surely, they were not the just ones in service of the Iberic countries, but that had may be others, now forgotten, who worked under those powerful countries to improve navigation all over the globe in a very short period of time.

As we pointed out, the historical identity of Portugal, to which activities we may attain more closely from now on (since the Spanish did not play a relevant role in the squabble this essay roots in), is directly linked and rooted in Catholicism identity, under the molds of European Roman Catholic Church.

Royal Patronage may be understood in this direction. It is, no doubt, an agreement between Church Powers and "Secular" Powers in Portugal (specifically, the Crown). Under such arrangement,

<sup>472</sup> RAMOS, Rui; SOUSA, Bernardo Vasconcelos *et* MONTEIRO, Nuno Gonçalo. *História de Portugal*. Lisboa: A Esfera dos Livros, 2009. p473.

<sup>473</sup> This expansion started in 1415, when after the consolidation of the kingdom, founded in the middle 14<sup>th</sup> century, moved by commercial interests and also still in the spirit of the "Reconquer War", the Portuguese arrived in Ceuta, North Africa. Cf RAMOS, Rui; SOUSA, Bernardo Vasconcelos *et* MONTEIRO, Nuno Gonçalo. *História de Portugal*. Lisboa: A Esfera dos Livros, 2009. p873.

<sup>474</sup> These is evidence of the arrival of Viking ethny navigators in North America in the 12<sup>th</sup> century. Cf WAHLGREN, Erik. *Los Vikingos y América*, Barcelona: 1990

<sup>475</sup> Vasco da Gama arrived in Calicut, India, in 21<sup>st</sup> May, 1498. cf MUNDADAN, Mathias. *History of Christianity in India. Volume I*. Bangalore, Theological Publications: 1984. p 244.

<sup>476</sup> Cabral reached India in 30<sup>th</sup> August, 1500. cf MUNDADAN, M (...) p 256.

the Portuguese kings and further rulers would be recognized and validated by the papacy, and in exchange all the territory under the “Faith Defender”, who is the King (or Queen) will have, as the official religion, Roman Catholicism.

Church gains, because it is now quite sure that the expansion of Protestantism inside these territories is stopped or even prevented. And the Portuguese Crown also gains, because it is recognized by the papacy, what warrants prestige among the other monarchies. And also the Crown, under this arrangement, can “filter”, or better saying, “discern” about the Pope instructions to the Clerk, adapting them to the reality of the Kingdom.

This is a important political gain to the Portuguese monarchy, as it now may detain under its control all the clerk inside its territory, as the Pope also opens hand to give direct orders to them, but to assume and validate the Monarch as its intermediary. The Monarch now can erect Dioceses, name bishops, expel or admit inside its territory Orders or other kinds of Consecrated Life Institutes (if we may use a more modern nomenclature for them). Seems that each player in this game about religious and political power in Portugal is happy<sup>477</sup>.

And also, it fits perfectly in the Portuguese cultural identity, which, as we pointed some paragraphs above, is rooted in religious identity.

But if such “peaceful happiness” regarding, let's name it, Church inside Portugal is apparently of easy maintenance, in a very short time the Patronage will face a obvious menace to itself. The Portuguese territory expands. When it happens, sprouts a new need, the need of missionaries to the new discovered lands.

A series of further arrangements takes place, and the agreements sprout also with the new need. These agreements are between the Royal Patronage agents and the Orders who are International, spread all over Europe. In the case of Portugal, the Jesuits assume a major role in the Portuguese expansionist policy<sup>478</sup>.

Nevertheless, from the beginning this seems to be, let's use a comparison, a impossible marriage, or maybe a mere arrangement one. The nubents are, by one side, Portugal, where Catholicism and local Culture are so deeply interlayed that the distinctions between one and other are hard to make. To be Portuguese means, very clearly and as a official policy and fruit of an effort, to be catholic.

In the other side, there are the Jesuits, who were supposed to adapt their evangelization in accordance to the cultural environment they might found in their destinations<sup>479</sup>. How could they do that when the destination, despite being thousands of miles away, was under Portuguese cultural siege?

In the Portuguese mind, to be Catholic meant to be Portuguese. Very soon, in the space of less than one century, this will result in the squabble between a Portuguese priest (Fernandes) and a Roman one (Nobili), each of them trying to prove opposite thesis about pertinence to Culture and Religion.

By now, let's attain a bit more on the history of the expansionist Portuguese Empire. The first Portuguese who returned from India to Portugal, those ones in the Gama's fleet, stated when arriving in Europe that they had found a Christian Temple in Calicut<sup>480</sup>. All was, nevertheless, a confusion with apparently a Kali Temple, that was later on almost destroyed by Cabral's fleet, who started the first Worldwide War, between the Portuguese Empire and the local powers in India.

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<sup>477</sup> LACH, Donald, *Asia in the Making of Europe, vol. 1* Chicago : The University of Chicago Press, 1965. pp.230–245

<sup>478</sup> Boxer, Charles R..*O Império Marítimo Português, 1415-1825*. 2.ª Edição. Lisboa, Edições 70: 1992. P 98.

<sup>479</sup> The essential book to understand this direction is Claudio Acquaviva's *Industriae ad curandos animae morbos*, available at <http://books.google.com/books?id=KAE8AAAACAAJ&dq=claudio%20acquaviva%20industriae%20ad%20curandos%20animae%20morbos&pg=PP14#v=onepage&q&f=false>. Acquaviva is took by some as the “second founder” or “ideological founder” of the Jesuits, once he gave the Society, in 1600 (year of publishing of the book I quote here) directions about the way adaptation should be done in the mission areas.

<sup>480</sup> SUBRAHMANYAM, Sanjay. *The career and legend of Vasco da Gama*. Cambridge: Cambridge University Press: 1997. p171-172.

What is curious in the account Gama gave to the Court in Portugal may be not the confusion he made, but the fact that somehow they needed one Venetian to interpret it and notice that this was a pagan temple. That means that some in the Court believed in the possibility of such a “Christian Kingdom” existence in the far-eastern India.

When we take a look on the accounts of the starting of the Portuguese Maritime expansion, we find direct instructions, gave by King João II of Portugal to Bartolomeu Dias, a navigator, to “Find the Kingdom of the Christians that lays in the East.”<sup>481</sup> So, the Portuguese were searching for this Kingdom, which, of course, at least in the time they arrived in India, was not there.

The first role the missionaries played in these first fleets was not as evangelizers, but as chaplains of the fleets themselves. They were going to a Christian territory, so there was no need to evangelize them.

And, after the conquer of Goa, which took place in the early 16<sup>th</sup> century, the first fathers who landed there with the next fleets were there to take care of the Portuguese souls, and nothing more.

When they found that there was no Christian Kingdom, but sparse populations of Syrian Christians in the Southwest Coast (specially the nowadays' Kerala State), the need of Evangelize finally raised. And then the Jesuits missionaries arrive in scene, on this precise time; and also precisely, inside the Portuguese ships<sup>482</sup>.

The Portuguese interests in India, of course, were not only the conquer of Goa. Very soon, sprout also the interest of domination over the East Coast, from where the access to Macau, another colony in China, would be easier. So, from Goa, the Portuguese went to try to dominate the nowadays region of Mylapore, or Chennai.

And were quite successful in their trials, naming the region after “Madre de Deus” which later on corrupted in “Madras”. Conquering the entire Southern Region, comprehended under the line we may trace from Goa to Madras, was the next natural step. By conquering this land, the amount of goods that could be carried to the ships located in both ports would increase exponentially. Of course, there were smaller ports, like the ones in Diu, Daman, Mumbai, Kochi. But Goa and Madras soon developed in the most important ones.

There are, as we all know, many ways of Conquest and Domination. One is military, and the Portuguese could not, naturally, do that. How to dare defying the well-established kingdoms of South India, in an unknown terrain and in numerical disadvantage? This would be military suicide.

In spite of that, the option was to build a series of alliances with these kingdoms, so that the access to the goods that moved the Portuguese from the Europe to every single spot of world should be improved. These alliances putted the Iberians in India in touch with large populations of non-evangelized peoples. And, in the conjunction of the interests of evangelization and the need of tightening the recently formed links, Missions took place. Madurai Mission can be inserted in this context, where a authentic Gospel zeal from the part of many missionaries met the commercial interests of the Portuguese Empire<sup>483</sup>.

Nevertheless, this meeting was not a easy to cope bondage. Every missionary should be aware that spreading the good news towards the interior of the Indian continent, where the Portuguese cannons and gunpowder power were absent also meant taking risks.

Not only the obvious physical risk involved in the adventure, but also the cultural risk: the cultures that were present in the areas to which the missionaries went had never, sometimes, heard anything about Jesus Christ, and so they developed the local cultures after and in a very different religious matrix. To understand these cultures was now a must-to-do activity in order to approaching them appropriately.

Madurai kingdom, which capital city was nowadays Madurai, in Tamil Nadu, fitted this description quite finely: it was one large centre of Tamil culture, and housed during those times a powerful politics centre, that was able to construct the Perumal Palace, still visible today in Madurai's

<sup>481</sup> MUNDADAN, (...) p237.

<sup>482</sup> MUNDADAN, (...) p260.

<sup>483</sup> MAROTTIKAPARAMBIL, Francis. Latin Christianity in India. IN AFONSO, A.V. *Indian Christianity*. An issue of CHATTOPADHYAYA, D.P. *History of Science, Philosophy and Culture in Indian Civilization*. PHISP, New Delhi: 2009. pp 60-61

downtown, and also run the Meenakshi temple, still there, and (as the tale tells) since some two thousand years ago.

Both Fernandes and Nobili will try and will do such an understanding, but the method of approach they will build after their experience will be radically different. Why?

## 2) Squabble per itself

When Nobili arrived at Madurai for the mission, Fernandes was already working on that area for some time. Precisely, he was there for 4 years, and the converts he had made were counted only among the lower castes. These lower castes can be understood as those ones to whom the right of the “second birth” ritual was not indulged<sup>484</sup>. From that, in the Indian religions located in Madurai at that time (what we may call Hinduism sects or something like that), these peoples could not attain salvation, understood as liberation from the Samsara or Moksha, regardless the efforts made.

From the point of view of the populations in India during this period, the Portuguese, and virtually any non-Indian nationality were viewed also as this lower-caste people, and their religion would seem to fit only for the lower caste people.

This is a suitable explanation for the phenomenon of conversion being restricted only to lower-caste people. From the perspective of the upper-castes (and let’s not forget Madurai was a centre for both Brahmins and Kshatriya people, once it was one prominent centre of religious and political power in South India) the Portuguese may and must have had considered as lower caste people because the kind of life this new actors in Madurai had was the lower caste type. They ate beef, dressed in black (specially the priests), didn’t wear any distinctive mark (as special haircut or line or anything else) that could distinguish them from the lower castes. Also, even the priests were directly involved with the non-religious affair of commerce. How could any of them, including the fathers, be called a Master in Religious issues, or “Brahmin”?

Fernandes, encountering these difficulties, noticed that this approach to them from the Indian population was deeply rooted in the culture. He made serious and deep investigations among the local populations, and was able to identify and enumerate many of the then current rituals and customs, and also gods and goddesses<sup>485</sup>.

And, as a fruit of this effort, he made the option to invite the ones he was trying to convert to open hand from the caste they were in and embrace Christianity and (this is a key factor) the *Portuguese* way of Christianity. So, this may be the reason why he would ask to the ones he was baptizing on the very moment of the Baptism rite itself: “Do you want to join the religion of the westerns?”<sup>486</sup>

Let’s not forget, and this is the second key factor to understand Fernandes’ question to the converts, that he was a Portuguese father. He was a participant of the Portuguese national identity, which as we pointed out some pages ago, was about Roman Catholic identity. Also, he was a late vocation, and fought as a soldier under the Portuguese flag before becoming a priest.<sup>487</sup>

From his perspective, as a Portuguese person, there was not in his life any aspects that could delimitate him as a Portuguese which could not also do the same to him as a Catholic. Maybe, by asking this question to the converts, he was just being honest to his identity. To him, if being

<sup>484</sup> There is a ritual, namely Upanayana, where the young boy, at the ages of 8, 10 or 12, depending on the caste he belongs to, receives the access to the knowledge of Brahman. The lower castes and non-caste Hindus cannot perform this ritual, what in the Vedic perspective and an interpretative line (or school) may impede them to know the Union with God in its various acceptations, impeding, in this way, the moksha, the Salvation of the individual Atman, or Being. cf. LEVETTE, Sarah. *Coming of age: Journey of Life*. Chicago: Rosen Publishing Group, 2009. pp45-47.

<sup>485</sup> His main work was “*Tratado do Padre Gonçalo Fernandes Trancoso sobre o Hinduísmo*”, an extent description of brahminical practices and with a whole section dedicated to Sanskrit quotes. Cf. NOBILI, *opus citi*, p 29. (in fact, an introduction by one of the translators, Clooney or Amaladoss.)

<sup>486</sup> Nobili states that Fernandes understands the word “parangui” as equivalent to “portuguese”. Joe Arun, in one of his articles is of the opinion that “parangui” means “lower caste person”. Nevertheless, it derives from frangui, a word used by the North Indians to describe the “Franks”, or the “Westerns”. After all, for sure it was used to nominate the Portuguese during this period, as Fernandes pretends to use it. Cf. NOBILI, *opus citi*, p 233. & ARUN, Joe. *Interculturation of Religion*. Bangalore: Asian Trading Corporation, 2007. p4.

<sup>487</sup> ARUN, *opus citi*. p74.

Portuguese meant being Catholic, then being Catholic might mean being Portuguese, and open hand of all cultural and social aspects from India to embrace the western ones.

But he could not deny that his method was inefficient, at least to convert high caste population. Nobili arrived there, at this Mission, and after observing the whole method for one year and trying to identify where the problems of it could be, he opposed to his fellow Fernandes' one of his own<sup>488</sup>.

In Nobili's method, the identification between culture and religion does not exist, at least not so deeply as in Fernandes'. In spite of that, Nobili defends and roots his method in the History of Church in Europe, demonstrating that, from the beginning, Christianity is too plastic to not be able to fit other cultures than its original one<sup>489</sup>.

After this premise, he tried to make distinctions among all the customs he could look upon to put them inside three major categories: a) customs directly linked to Indian religions, that could not be adopted because were deeply rooted in these religions; b) customs somehow linked to religions, that could be adopted after some adaptation; c) customs not related to religions, that because of this could be kept, once there wasn't any harm to the new converts<sup>490</sup>.

This is what the Nobili's method is about. It has nothing to do with caste. It has nothing to do with nationality. It has nothing to do with theology. It has to do with distinction on the realms of each custom.

One interesting thing about this controversy, or dissension, between Nobili and Fernandes, is that it was not about the method itself, but about the direct output of it: the customs that could or could not fit inside the neo-born Christianity at Madurai.

Fernandes wrote a letter that can be taken as he start point of this squabble where he criticized Nobili because he dressed in this and that way, and permitted this and that custom among his neophytes, and spoke on this or that style<sup>491</sup>. He never went to the root of this customs, which were the possible distinctions Nobili proposed.

Why? Simply because on a very ethnocentric perspective; Christianity meant to him the same Portuguese did. So how could any of this distinctions be possible? The only possibility of conversion was not to convert in-the-culture, but to convert the culture. Fernandes simply aimed to convert the whole Indian culture and shape it after the Portuguese one.

Usually, the Province Superior would be asked to solve this kind of doubt. But indeed, Nobili or his partisan Vicco were succeeding each other at the charge of Madurai Province's Superior, and the judgement over this issue could not be done by any of them. This is one crucial factor in the history of the squabble which perfectly explains why the decision was took to the higher spheres of power. In fact, the bishop of the Diocese where Madurai was located in was asked, and as he gave his permission, Fernandes took the issue to the higher court, which was the Superior in Goa Diocese<sup>492</sup>.

In Goa, since the 1590's, was located the most hard Inquisition Tribunal all over the whole of Portuguese Empire, and of course Nobili, knowing that and previewing one judgement not in his favor used all the influence he had in Europe to try solving it in benefit of the method, which he believed was the most clever one.

Being related to former Popes and to some influential people in Roman Cure, it was easy to gain the case in his favor, with a Apostolic Constitution<sup>493</sup>. This should be the end of all the trouble the interpretations on Indian Culture generated to the Jesuit and to the Church in India. We may say,

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<sup>488</sup> Bachmann, Peter R. *Roberto Nobili: 1577-1656*. Rome: Institutum Historicum S.I., 1972. p 37

<sup>489</sup> NOBILI, *opus citi*, pp212-213

<sup>490</sup> Id, *Ibid*. pp217-224

<sup>491</sup> This letter is transcribed in DAHMEN, Pierre. *Robert de Nobili, les Apôtre des Brahmes*. Paris: SPES, 1931. pp 195-199

<sup>492</sup> The quoted Letter, was, in case, sent to the Superior in Goa.

<sup>493</sup> Nobili was the grand-nephew of Roberto Nobili, a Roman Cardinal. Was also related to Cardinal Sforza, and close to Cardinal Bellarmine. BACHMAN quotes he was also the grand-nephew of a Pope, but does not identify what Pope he is speaking about. Nobili, at that time, addressed a letter containing the text which is translated in the "Preaching wisdom to the wise" I am quoting here, named "Responsio", to Acquaviva and to Bellarmine, and also spoke on the issue, through a letter, with Sforza. The result of all the squabble was the Apostolic Constitution *Romanae Saedis Antistes*, by Gregory XV in January 31, 1623.

in fact, that it was the end of this dissension between Fernandes and Nobili, but was not a final solution to the problem of Culture interpretation.

Some fifty years after these events the same question was re-asked, and a totally different output came. Also, in other parts of Portuguese Empire similar squabbles went on, and at the bottom of all these dissensions, we find always the problem of National Identity<sup>494</sup>.

In all this cases, it sprouts from the ethnocentric perspective which wants to shape all newborn christianities in the Empire after the Portuguese one, which is seen as one superior force with the divine right of colonize, siege and conquer other countries and cultures, shaping them after the Crown's will. Weirdly enough, this seems to be, at least, the exact case of the India Conquer Effort, as we can learn after the text we introduce below.

### 3) One elucidative text: Nobili catechism as translated by Balthasar da Costa.

One of the most important sources when dealing with Nobili is his Catechism, composed in Tamil to help with the instruction of the catechumens and neophytes at Madurai and adjacencies. It is a very extant text, with more than 1200 pages in its Tamil form. In fact, its importance goes beyond the missionary field, once it is considered to be one of the first Tamil texts in prose. Nobili is considered by some as the father of modern written Tamil prose<sup>495</sup>, and this is one of the texts he wrote in such form and language.

The catechism, by itself, is also important because it shows to the reader that Nobili was very familiar with the Indian tantra style, and with Vedanta philosophy style as well. The structure of the text follows both references and is a kind of blend of this styles<sup>496</sup>.

Unfortunately, the Tamil complete version seems to be lost, and what is available in India are the two brochures which compose the first volume in the original language, stored at Goa State Library, and translations. It seems that this two volumes were sometimes, in the course of time, reedited and printed, in Tamil.

But one secondary source to understand not Nobili Catechism but the ambience it took place is Balthasar da Costa translation, to Portuguese, of the said text.

I found it in the Archives of Madurai Province, located in Kodaikkanal, Tamil Nadu. The Nobili's text is preceded by an extant introduction about him (then recently deceased) and the translator, addressed to the king of Portugal. In it, we find that Balthasar da Costa was a direct disciple of Nobili, and they both shared the mission by some time. Also, we find a drawing, made by Costa, of Nobili in Sannyasa dresses, made after a personal order by Nobili himself. This shows that they may have been working together for some time, in also a friendship relation, that would naturally sprout from the need of co-living.

After that, we could suppose that Costa would dedicate great part of this introduction to speak about Nobili and the mission, to such a important reader who may never heard anything about the missionary. We may point out here that this translation was made by Costa exclusively for the king, and was not printed, but hand written.

In spite of that, he occupies himself in a weird justification of Portuguese Imperialism after the Bible. He states that the King must financially support the missionaries with the same good will he supports the army, because the Portuguese Empire was a neo-Israel, the establishment of God's rule all over the world and to all nations, under the Portuguese flag and by natural and divine right.

This divine right Costa speaks about was allegedly given after a vision the first Portuguese king is said to have had, in which he received the cross as the symbol of the kingdom, for that under and after this cross the King should rule.

<sup>494</sup> In the late 17<sup>th</sup> century, there was a disagreement between the Capuchins working at Pondicherry and the Jesuit in the Carnatic Missions regarding exactly the same practices. Pope Clement XI sent there the Patriarch of Tournon who, despite never going there, prohibited even practices that never happened in the region. Afterwards, a series of decrees came from Rome, even prescribing an oath to all missionaries to not use any of the banned practices. This resulted in a series of controversies in the Carnatic Region and also in Pondicherry, that until nowadays are not completely solved. Cf ARUN, *opus citi*, pp 90-102.

<sup>495</sup> Cf DATTA, Amaresh. *Encyclopedia of Indian Literature:devraj to jyoti, Volume 2*.New Delhi: Sahita Academy, 2005. p 1669

<sup>496</sup> Cf NOBILI, *opus citi*. p 34-42

He goes ahead, and compares the Portuguese army with Joshua and the Portuguese missionaries (or the missionaries under Portuguese patronage, if we prefer including all the nationalities in the missionary effort here) with Moses.

Then he recalls the period about the fight between the Israelites and Amalec as a symbol of the Portuguese fight against the Dutch, stating also that the Portuguese would not win this battle if the king didn't pay more attention to the conversion of souls.

To support the missionary work was equivalent, in Costa's text, to the supporting of Moses arms by his servants. And only when Moses had his arms straight to the air, Joshua won. Whenever his arms laid down, Joshua started to lose<sup>497</sup>.

Then Costa concludes and says to his king, almost giving a recipe: we are this God's army and people. God gave you the right to rule all over the world and to work in the defeat of Protestant Dutch Heresy, a Luciferian enterprise. To win this battle, is simple: support the fathers, and you will win<sup>498</sup>.

Of course, Costa linked in his text Dutch with Protestantism. Sounded as good and real as the link between Portuguese and Catholicism. To defeat the Protestants is to defeat the Dutch. And so, God would compensate the king by allowing him to rule all over the world. Why not?

What is quintessential here is to notice that Costa was not free from Portuguese pride, or was trying to play with it. And he links directly national to religious pride, like if it was just one. So, we may infer from it that, like all over the Portuguese History in other places and regarding other issues, the justification of Roman Catholic Mission to India, by the Portuguese, was simply one aspect of secular power will. They were, definitively and explicitly, linked. Simply because, if they weren't, this text would not make any sense, specially when we consider it is composed and addressed directly to the king.

Balthasar da Costa justifies not Nobili's method here, but Portuguese empire. It is not an introduction about the quoted catechism, but a text implicitly alleging that also Madurai mission was part of the Portuguese effort of Colonization of India.

It was just a way to state before the king that they were all playing the same game. But it wasn't, unfortunately, enough to prevent, after the death of King Sebastian, the expelling of the Jesuits from the Kingdom of Portugal. Specifically, the accusation was that they did not submit themselves to the Patronage.

And this Patronage, as we noticed here, was the controller of the organisms which accused Nobili's method of being unorthodox. Simply because, it seems, that it was not about defeating Amalec. It was also about circuncidate the enemies, putting them under the Portuguese Standards of "Catholic Faith". Which, afterwards, was too Portuguese to be Catholic.

#### 4) Conclusion

It's undeniable that all the crisis about Nobili method was, at its bottom, linked to cultural identity, Portuguese expansion and Religious identity in Portugal.

The other issues which had been pointed out in the course of time (theology, missiology, sociology, caste system etc) are late interpretations about all the issue, and didn't play, at those times, a relevant role on it. It was, simply, about one question that until now we could not answer in India, in Brazil, in East Timor, Mozambique, and everywhere else: is to be Christian equivalent to be European? If not, why this effort of "europezation" of the "mission areas", since then? Should we try to make of our churches more national, from the point of view of culture?

The lack of courage from us to answer this question properly is also fruit of our ethnocentric views. The squabble between Christian Faith and Culture will never end, once there is not "Christian Culture". Jesus was Hebrew. There is Hebrew culture. And Jesus, the incarnated Christ, historically inside it. Shouldn't we look inside of our cultures in chase of the missing Christ in them? Should we reduce Christ to Jesus?

<sup>497</sup> Obviously, COSTA is referring here to the biblical period in Exodus 17, 8-16.

<sup>498</sup> NOBILI, Roberto. *Catecismo em que se explicão todas as verdades catholicas necessarias pera a salvação com excellentissima ordem*. JEMPARC Archive object 47. Shelve "Nobiliana", Type writed copy. Translated by Balthasar da Costa. The original title of this Catechism may have been Gnanopadesam.

If we assume that we must find Christ inside the cultures we are living in, the squabble, as it was anything but nationalism, ruins. It was, in fact, fruit of National Pride. And, being so, at least during the period when the events took place, it was theologically unreal.

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## LANGUAGE, MEANING, CULTURE IN INTERNATIONAL PUBLIC RELATIONS

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### **Abstract:**

The present paper aims at tackling the issue of international public relations from a cultural studies perspective, having in mind the cultural specificity, given the variety of forms of public relations in the world.

The public relations field has evolved all over the world with increased intensity nowadays, having become a genuine 'global industry', covering countries with extremely varied cultures, political systems and development. With a wide span across the globe, from the US to Asia and lately Africa, from Ireland to Russia and Eastern Europe, this field has evolved fast, based on the creation of institutional structures that define the way in which the public relations work and legitimate themselves. It is an ascertained fact that the public relations have become a significant 'business' at a global level, with an increased development, faster than that of the global economy on the whole.

According to the PR data base, in Romania there are around 40 public relations agencies nowadays, compared to only one in 1992[public-relations.ro]

The present paper focuses on the fundamental aspects of the public relations activity, in an attempt at showing the way they are practiced around the world, highlighting the importance of culture in any activity of international public relations. From the very wide references in the field, the approach illustrated by Curtin, P. & Gaither, K. was a highly valued source of understanding and reinterpreting phenomena in the field, as well as the articles offered by various international public relations associations in the country and abroad.

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**Key Words:** Cultural Specificity, Professional Communication, Multiculturalism, Public Diplomacy, Credibility

In the nowadays world of the third millennium in which we live, communication plays a vital role. Those in favour of a professional communication support this field as meant to generate maximum interest and to highlight the importance of communication throughout the society. The field of international public relations is on the increase as a result of a tremendous development of the field. Successful international PR programs exist in most of the top universities in the world, particularly at the faculties of Communication Sciences, Journalism and Political Sciences, but as of late the study of international public relations was introduced also at the faculties of international relations and economic sciences. This tendency has seized Romania as well, having been introduced at the beginning of the year 2000 being a highly promoted and encouraged field in continuous development. A good command of the communication strategies is required by both professors and students alike, as well as employees of a public institution, a multinational, in the media and last but not least, in diplomacy, as people interact incessantly with the foreign environment. In the analysis of a specific country, in the present case – Romania – one has to have in mind the cultural specificity of that particular country, mentalities, values, beliefs as well as the needs of the target public.

The practice of international public relations has developed after WWII and is on the continuous increase, given the fact that international tourism and trade evolve more and more rapidly and governments of more and more countries aim at acquiring more influence at world level. Concepts such as 'multiculturalism', 'ethnocentrism', 'intercultural communication', 'individualism', 'collectivism', among others are more and more widespread and largely used, acquiring more and

more complex meanings [ H.E. Miculescu, S-M. in Curtin & Gaither:7, 2008]. The globalized world seems to be 'shrinking' day by day, the borders having faded out, companies merge, the language of advertising has become universal, the slogans of the marketing campaigns alike and the new technology advances rapidly throughout the globe.

A positive image of a nation, meaning one of trust and reliability for the other actors of the international system is an important factor for a country's place on the world stage, being at the same time one of the main objectives of the international public relations. Thus, in the context of a world in which the image of a country is determined and influenced by so many factors, knowledge of the international public relations principles in order to better implement them at a high level of professionalism become compulsory elements of the activity of any country's government. Given the high speed communications era, the international public relations practitioners are compelled to work out communication programs meant to transcend the international borders in order to function at global level. Therefore, adapting public relations for their harmonization with the local conditions is of utmost importance, and distinguishing what works for one country and what not in various contexts.

The field of international public relations redefines itself permanently. With increased frequency, this field acquired a new basis, grounded on the cultural aspects, the changes occurring in the environment and the permanent process by means of which people all over the world try to understand the world they live in. The clashes between cultures occur at the work place, technology seems to compress time and space, producing new realities even in the least developed areas of the world, whereas *power* remains a constant element, in any relation throughout the globe.

#### *Defining the public relations field*

Any attempt at studying the field from no matter what specialty literature would start by answering the question 'what is public relations about?'. In the United States there are the most numerous agencies and associations in this field, there existing a wide array of books offering various definitions of public relations. Besides the definition, researchers have identified a number of key-words meant to help understand the way they apply to the public relations, such as: *reputation, credibility, managerial*, thus shaping the activity in the field. According to the Public Relations Higher Institute in Great Britain, public relations is a 'field of study concerned with reputation with the aim of gaining trust and support and in order to influence the public opinion and behaviour' [...] The diversity of the 'public' specific to public relations is one of the factors that make more difficult the formulation of a functional definition of this field, going towards normative approaches, i.e. the ones describing what should public relations be and provide a framework for practicing PR. Thus, the 'public' consists both in employees that would form the internal one, and administrations, NGOs, groups, alliances and citizens, embodying the external public. In international public relations, it is of particular significance to be critically analysed the theory and the extent to which this applies in political and social-economic systems other than the country of origin.

#### *Semantics and functions associated to public relations*

Defining the public relations becomes even more complicated when taking into account the *meanings* in different languages. The term itself has its roots in the US. Subsequently it was adopted all over the world, but in the sense that the functions associated to it in the US were taken over, alike. Many European languages do not have a proper word for public relations, e.g. Germany (Valin, 2004). In Romania there is an expression for public relations but it is often confounded with 'relations with the public', implying office information function and work with the customers. (GAPR, 2004). The field is not a fixed or static one, but rather it implies *creating ideas and generating meanings* (Curtin & Gaither, p. 20). Nonetheless, irrespective of the numberless definitions of public relations, according to the above-mentioned authors, they imply '*a process of communication, be it written, verbal or other form, with a particular purpose, that constitutes a process*'. This means that no single or unique definition can be applied and that such a perspective offers a solid ground for re-analysing concepts associated to public relations at the international level, such as persuasion and publicity. The public relations must be approached from a global, comprehensive perspective, that should cover the various meanings conferred to it, in order to illustrate adequately the diversity of the communication processes occurring throughout the world.

### *Short history*

This type of relations has started to be studied as a social science in the XX-th century, there is evidence with regard to practicing this activity during the ancient civilizations of Egypt, China, Greece and Rome. According to the researcher, counsellors practically applying public relations techniques as well as the elements of the field date back to ancient Egypt and even earlier than that. In time, the field developed in varied ways, being applied under various forms all over the world.

The public relations field has evolved all over the world with increased intensity nowadays, having become a genuine 'global industry', covering countries with extremely varied cultures, political systems and development. With a wide span across the globe, from the US to Asia and lately Africa, from Ireland to Russia and Eastern Europe, this field has evolved fast, based on the creation of institutional structures that define the way in which the public relations work and legitimate themselves. The number of public relations agencies and organizations clearly shows the rate the field has developed lately. More than twenty European countries register public relations agencies or associations. In Italy, for instance, there is the Italian Federation of Public Relations. In Romania there are about 40 public relations agencies, there having been set up the Romanian Association of Public Relations. In Bulgaria this field develops rapidly and according to the authors (Boshnakova & Zareva, 2005) the public relations agencies compete with the western ones already. In China, according to the research made in the field, the public relations agencies are over 1,500. In Russia, alike, the public relations field is on the increase. Conclusively, from a predominantly American industry, the public relations have extended globally in this century, covering countries with extremely different backgrounds at all levels.

Given the variety of forms of public relations in the world, the field is marked by discrepancies between different perspectives of the purpose and way in which this activity is practiced. A great amount of studies on the field, particularly the American approach show that certain conditions are required for the field to exist, i.e. democracy, economic freedom, freedom of the press and civic liberty. In regions of the world which do not fulfill these conditions, public relations are practiced under one form or another, however, not in the American understanding of the theories of the field, which favour the bidirectional communication, instead of the one-way communication in which power controls information and the media. One element that cannot be analyzed by block descriptions of the national identity is *culture*. By observing the way in which common situations clash and combine, one can identify common ground for practicing this activity.

### *The importance of culture in the public relations activity*

By culture one understands characteristics, practices and norms of a society. To employ a wider definition of cultural studies, one would take into account Hall's definition of culture as being '*the process by which meaning is produced, transmitted, consumed, asumed, reproduced and continuously negotiated within the society*' (Hall, 1980).

Culture constitutes the basis of a system of common significances of a society. We confer meaning to things by defining and presenting them; we build significance at social level. Between culture, meaning and language there is close relationship. The language, meaning and culture occur in the shaping of discourse or concurrent truths. The dominant American discourse raise the public relations at the level of managerial function, focusing on the relationship between the power players and equal rank. Taking the example of the American realm, for instance, one can notice the difficulty of defining and applying public relations. Thus, in an attempt at comparing the American public discourse on public relations to that of the American practitioners, who, often times do not read the publictaions in the field and/or do not belong to a professional association, it is to be concluded that public relations, the way they are approached by theoreticians have little to do with what they actually do; activity they often define in terms of image management, impressions, persuasion and the spread of information. Journalists themselves use a different discourse. The majority of the American practitioners in the field were ex-journalists, for whom the public relations were something they were not supposed to be: journalism. The two professions are closely connected therefore, most public relations specializations are carried out within the journalism studies, in spite of the feeble relationships between the two. To the common American citizen, the public relations are a form of reinterpretation rather than a reliable source of information, therefore granting less credibility to the

public relations practitioners. These examples and perceptions demonstrate the way in which language, meaning and culture intervene in the forming of discourses or reliable 'truths'. This shows that culture represents not only 'the rules and traditions' of a civilization; rather it is interwoven in all social activities, constituting the 'sum of their interactions' (Hall, 1958, p.58). The cultural studies have evolved based on this view on culture, there having been created by a group of British theoreticians the 'cultural model circuitry', underlining the way in which culture and power intermingle, in order to generate meaning (Hall, Janes, MacKay & Negus, 1997).

#### *Cultural concepts and their wide usage*

The cultural concepts do not affect the practising of public relations; rather they form the core of practising public relations. The Asian cultures provide different 'layers' of cultural concepts essential for understanding the oriental forms of public relations. The various cultural practices according to gender and age, from cultures such as Chinese or Korean are generating misleading meanings and interpretations for those unacquainted to sound information of public relations, who cannot adapt to or grasp the meanings of the oriental background, in which society is defined by sophisticated and systematic social relations. To a foreigner, one aspect is clear, namely that linguistic skills do not suffice in order to make a public relations campaign abroad, since those activating in the field of public relations are often foreigners trying to penetrate the meaning and complex network of written or unwritten rules that form a culture. Cultural idiosyncracies play the same important role in modelling a proper milieu for effective communication as language itself.

*Summing up*, it is to be highlighted that culture plays a proeminent role in international public relations, the practice of which differ a lot from one region to another by semantic nuances and often contradictory definitions employed. The cultural nuances not only render a different meaning to the definitions, but also alter the meaning of the international public relations activity as such. According to specialists in the field (Curtin & Gaither, p. 29) culture represents the thresholds with which public relations are confronted with in order to reach the common situations at the core of international public relations, be it about constructing the national image, or attracting tourists, or stimulating economic growth or mediating the misunderstandings with rival groups and/or nations. The culture layers go beyond international borders, from the developed countries to the developing ones, from democratic regimes to authoritarian ones. Thus, accepting the cultural diversity and nuances constitutes the key element for understanding the various specific characteristics to practicing public relations in the world.

To end up with a quote on the challenges of the international public relations field past and future, one would mention Edward Bernays, 'father of public relations' and 'leader in opinion making', who stated: *"The three fundamental elements of the public relations are practically as old as humankind itself: informing the individuals, persuading them, and creating relationships among them. Of course, the means and methods have changed in time, the way society has, as well"*.

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## **INFLUENCE RELATING TO THE STRATEGIES OF SOCIOCULTURAL ADJUSTMENT OF THE CULTURAL DISTANCE BETWEEN THE RECIPIENT SOCIETY AND EMITTER COUNTRY OF TWO FOREIGN COMMUNITIES IN MONTERREY**

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### **Abstract:**

Being part of a larger project of investigation<sup>499</sup>, our principal aim constitutes the realization of an analysis of the dynamics of social interaction and the way that these dynamics are influenced by the most stereotypic perceptions between the foreign residents in Monterrey's city (Nuevo León, Mexico). In a previous paper (Doncel, in process of dictum) we tried to verify the hypothesis that, in the case of the communities that are made up of these foreigners, a higher degree of intracommunitarian cohesion corresponds to a minor degree of integration with the reception society. Since the results of this work are not as conclusive as would be required for the complete corroboration of the hypothesis, we decided to add as an independent variable for the measurement of the degree of integration to the reception society the cultural distance between this one and the origin society. So, here we set out the perceived cultural distance, the situations of intercultural conflict and the forms of differentiated adjustment of two foreign communities that we consider as exemplary cases: the Japanese and the Spanish society.

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**Key Words:** Sociocultural adjustment, intercultural conflict, interethnic contact, foreigner's communities, cultural distance

### **Introduction:**

The present paper is part of a larger project of investigation called "Dynamics of interaction, integration and conflict of the foreign communities in Monterrey", whose principal aim is to analyze the perceptions and the social interaction that reproduce the foreign residents in the city of Monterrey (Nuevo León, Mexico) towards the interior of their own community of belonging, towards other foreign communities and towards the reception society. In a previous paper (Doncel, in process of dictum), we tried to verify the hypothesis that, in the case of the communities that are made up of these foreigners to a higher degree of intracommunitarian cohesion corresponds to a minor degree of integration with the reception society. Since the results of this work are not all convincing that would be required for the complete corroboration of the hypothesis, we decided to add as independent variable for the measurement of the degree of integration to the reception society, the cultural distance between this one and the origin society. So, here we set out the perceived cultural distance, the situations of intercultural conflict and the forms of differenced adjustment of two foreign communities that we consider as exemplary cases: the Japanese and the Spanish society.

In the first part of this paper we justify the selection of these communities for which we consider essential cultural differences between the Japanese and Mexican society, as well as for the essential coincidences between the Spanish society and the Mexican one. Nevertheless, we will give more importance to the differences and to the cultural coincidences perceived by the same subjects of the migration in Monterrey, as well as to the relating of the situations of intercultural conflict that they live and to its foundations. After making clear the cultural distance, real and perceived, of these

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<sup>499</sup> This study forms part of the research project titled "Dinámicas de interacción, integración y conflicto de las comunidades de extranjeros en Monterrey", financed by the CONACYT in its 2009 convocation for Basic Research SEP-CONACYT, "Joven Investigador (J2)" modality, directed by Dr. Juan Antonio Doncel de la Colina.

communities, we will describe the particular way of sociocultural adjustment of each of the communities. In this point we will be supported by the work of Berry (1980), basically on four strategies of acculturation that this author sets out, depending on the valuation and reproduction that the immigrant carries out of his own cultural identity of origin, his habits and his customs, as well as with regard to the habits, customs and personal values of the culture of the reception society: integration (affirmation of what is one's own and of what is new), assimilation (denial of the own thing and affirmation of the new thing), segregation (affirmation of what is one's own and denial of what is new) and marginalization (denial of what is one's own and of what is new).

Regarding the methodological approach, entirely qualitative, we have been served by the results obtained during our fieldwork among both communities. This fieldwork has been carried out principally through two methodological tools: in-depth interview and participant observation. This way, on one hand, I may have been present at numerous events carried out by both communities (barbecues, sporting events, celebration of national holidays, informal meetings, etc.). The fact that I am of Spanish origin and an immigrant in Monterrey has been of great help for the accomplishment of my fieldwork in a community of which, at last, I am an integral part. Likewise, one of our Japanese informants, the anthropologist Shinji Hirai, not only is developing his investigation and his social and personal life between the studied community, but in addition we must bear in mind that he forms part of the team of investigation constituted for the accomplishment of this project. Beyond the evident epistemological and methodological implications of confusing the papers of the investigator and investigated (debate in which we cannot enter here), the truth is that the degree of abstraction and the depth of analysis offered by Dr. Hirai for the knowledge of the Japanese community has been an invaluable contribution.

Likewise, besides the enriching dialog between a Japanese anthropologist and a Spanish anthropologist, theorizing on the customs and narratives of their compatriots, the contribution of other informants must not be undervalued. In fact, all of them can be considered key informants for their relative structural position in the bosom of their respective communities. In this respect, the interviews realized to the General Consul of Spain and with a Spanish immigrant taken root in the city for six years and married to a woman from Monterrey, served us to obtain a vision, as much panoramic as experiential, of how the intercultural relations are perceived between the Spanish and the residents of Monterrey. Concerning the Japanese community, the quite cold and external vision of the Honorary Consul of Japan in Monterrey, Mexican by birth and without any cultural or ancestral link to Japan, was perfectly complemented by the vision, much more vivid, of a Japanese female informant located in an ambiguous position in her reference group, because even she is a first generation Japanese immigrant married with a Mexican man and does not form a part of the breadth of the Japanese community, composed of men sent by their respective companies to give their services in Monterrey for a limited number of years. The vision of the latter group has been recovered in an indirect way by the story of the previous ones, and also by the direct summary of punctual observations expressed by themselves during the realization of the fieldwork.

### **1. Cultural distance, real and perceived, between the analyzed communities and the recipient society**

As we indicated in the introduction, after comparing in a previous paper (Doncel, in process of dictum) the influence of the degree of intracommunitarian cohesion of the Chinese, Japanese and Spanish communities in their respective levels of isolation or of interethnic contact with respect to the recipient society, we could verify that, beyond the indicators observed to measure the degree of internal cohesion, we had to pay attention to a series of indicators that measure the cultural distance between the emitter society and the recipient society of these immigrants. This need is given by a few results according to which two communities with a very different cohesion degree (the Japanese, very high, and the Chinese, very low), but with a great geographical and cultural nearness, presented the same adaptative response opposite to the new sociocultural context: segregation. So, we have decided to compare here the adaptative response of two communities whose cultural distance with the recipient society that we presume is much differentiated. This case deals with the Spanish community that we view as very near to the Mexican society, and the Japanese society, perceived as more distant.

On what can we base to support a few differences or a few similarities that initially only form part of an intuition? (Even if this is the intuition of a Spanish anthropologist living in Mexico for almost five years, which gives him the support of the existential experience and the Weberian *verstehen*). If we accept Sapir-Whorf's hypothesis according to which our interpretation of reality is determined in an incisive way by language, this being determined culturally and provoking a distinctive interpretation of the reality on having centered our attention on certain phenomena (Sapir, 1929), it is clear that the linguistic variable has to be taken into account as the supposed first barrier that the immigrant must face to begin his process of acculturation. Also we can find as support to this proposal Lévi-Strauss's thought, which affirms that "one of my essential purposes has been always to fix the demarcation line between culture and nature (...) in the articulated language" (Lévi-Strauss, 1975, p. 133), to what he adds that:

Language manifests itself to me the cultural fact *par excellence*, and for several reasons; first, because language is a part of culture, one of these attitudes or habits that we receive from external tradition; secondly, because language is the essential instrument, the favored way by which we assimilate the culture of our group (...) Finally, and especially, because language is the most perfect of all the manifestations of cultural order that, somehow, forms systems, and if we want to understand what are art, religion, law and probably even cuisine or the rules of social etiquette, once must conceive them as codes formed by the union of symbols, in conformity with the model of the linguistic communication (Lévi-Strauss, 1975, p. 134)

Having accepted the transcendental importance of language for cultural production in the individual and, in consequence, for cultural reproduction in the process of adjustment to a new and strange sociocultural manner, in the cases chosen for our work the difference turns out to be indisputable. This way, on one hand, the Spanish immigrant, beyond the dialectal variants, faces an adaptation process very much achievable than the Japanese immigrant (with a mother tongue not remotely similar to the Spanish language).

If language is the vehicle of our interpretation of the world, at the base of our cultural identity we find our religious beliefs. Understanding religion as a unified system of beliefs and practices relating to sacred things (Durkheim), we find between Mexico and Spain, one more time, historical continuity. Both countries are predominantly Roman Catholic, although México (and most of Latin America) is developing a diversification process through the formation and strengthening of alternative Christian sects and in Spain the process advances to a clear secularization of society<sup>500</sup>. In the case of Japan, Shinto and Buddhist majority, with respect to Mexico, the distance is evident in the religious field, considered as a pillar of any culture.

The contrast of the Catholic religion, very oriented towards collectivism and public practice, against the Japanese religious syncretism (a mixture of Shinto, Buddhism and ancestor worship), a religion much more subjective, individual and of intimate celebration experience, is also reflected in the values ingrained in the dominant ethic, in the form of regular everyday social interactions, etc.. In this sense, intercultural communication, beyond that measured by language, between Japanese and Mexicans is hindered by a hierarchical concept and strict social respect in relations in the Japanese case, as well as non-verbal communication also very differential between Mexican and Japanese (i.e., in terms of physical contact, much more limited in the case of Japan). In the case of Japan, for example, their cultural patterns have been written about prolifically (Benedict, 2008; Morris, 1998), but more than focus on the cultural characteristics of each of the cases in the society of origin, what we want to emphasize here is the subjective perception and intercultural conflict between Japanese and Spanish migrants settled in Monterrey. Therefore, it is a much more defined aim that, ultimately,

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<sup>500</sup> These opposite trends inside the same religious adscription must not be minimized, so though the catholic tradition is shared, this does not mean that it does not exist any conflict situations or of ethical totally opposing positions. Such is the case of one of the Spanish interviewed informants, who explains that "the (religious) conceptions that they handle in Mexico are very linked to a creationist position. Almost all the speeches of the people have a stench to theology that doesn't go with me. It attracts my attention, but I keep to my criteria".

allows us to ratify or reject the hypothesis that cultural distance is decisive in achieving successful cultural adaptation.

With respect to the generalized perception of the Spanish community, among the interviewed subjects the expression of the cultural similarities predominates over the differences, as well as the relatively easy adjustment to the Mexican society. For example, the interviewee that occupied the post of Consul of Spain in the moment of our fieldwork affirmed that the Spanish tend to have good relations with Latin Americans "because the cultural nearness and language". In the same way, another Spanish informant resident in Monterrey for nearly six years, indicated that the essence of the people in Mexican and Spanish cultures is the same, "defined by the sunny climate", to what he adds that: "when you have environmental situations that allow conviviality, this makes people warmer. Life is breathed in through all the pores of the Mexican society. They always open doors for you. This aspect also is very Spanish because the climate allows it".

Even when the last informant was questioned about the cultural differences between both societies, among which the most prevalent themes of discussion (both for the Japanese and the Spanish) was the greater individualism of Mexicans<sup>501</sup>, he relativizes his response and the stereotype is conditioned and minimized by the context of comparison (Doncel, 2011b). This way, in another moment of the interview, our informant affirmed that "Here (in Monterrey) life is breathed more than in Spain. Over there we are more European, we tend towards the individuality, but in Europe the Spanish people are more like the Latin people, and it is obvious in spite of the differences that there could be with Mexico and other European countries".

One of our Japanese informants, anthropologist as well as immigrant, also refers to, with great lucidity, the individualism that he considers characteristic of Japanese society, individualism that entails some different forms of sociability compared to that of Mexico:

Also society does not teach young people to ask others for help, parents or friends, that is I think a great cause of suicide referring to the high rate of suicides in Japan). But look because we have seen that before committing suicide he wanted to speak (an acquaintance of the informant who committed suicide) ... so, for him he needed to say that he felt bad. But the society or we didn't have a way to help him. The individualism exists from the point of loneliness and isolation.

Nevertheless, we must not confuse the significances clearly differentiated of the "western individualism" than the Japanese vision of individualism. As the same informant and as other author as Benedict explained (2008), the collectivism and the social pressure to act in agreement with the

<sup>501</sup> Though in this case the perception of the Japanese and Spanish immigrants, according to which distinguishes itself unanimously the major individualism of its societies of origin with regard to the recipient society, agrees with the score granted by the famous anthropologist " of the intercultural communication " G. Hofstede, we have decided not to consider his cultural dimensions to be a valid criterion for our ends. Really, in the following table we can perceive how the score granted to Spain and to Japan as for the degree of individualism is similar, and equally distantly of the score granted to Mexico. Likewise, we can observe (in the numbers in brackets) how the distance between the scores of Japan and Spain with regard to Mexico is also similar. Nevertheless, we must consider that the work of this dutch anthropologist is orientated, more than to measure the real distance between cultures, to foresee the efficiency or the difficulty for the intercultural communication between individuals depending on the degree of similarity between the different cultural dimensions identified. All this based on a concept of national culture very debatable (for homogenizator and simplistic) and in a few mechanisms of measurement equally debatable.

**Table 1. Comparison between México-Japan-Spain according to the cultural dimensions of G. Hofstede**

	<b>Power distance</b>	<b>Individualism versus Collectivism</b>	<b>Masculinity-Femininity</b>	<b>Uncertainty Avoidance</b>	<b>Long-Term orientation</b>
<b>Japan</b>	54 (+27)	46 (-16)	95 (-26)	92 (-10)	80 (¿?)
<b>Mexico</b>	81	30	69	82	-
<b>Spain</b>	57 (+24)	51 (-21)	42 (+27)	86 (-4)	19 (¿?)

expectations of the group are some of the characteristics of the Japanese society. To this fact our informant adds that:

If this collectivism is analyzed in generational terms, many Japanese of new generation do not want to get into the companies and into the social activities precisely for not surrender to this social pressure. In this situation the Japanese individualism arises. It is not the same thing that the western individualism. It is the individualism of loneliness and isolation.

## **2. Situations of intercultural conflict between the analyzed communities and the recipient society**

However, for as much as we focus on the particular cultural features, real or perceived, of each of the societies of origin, we are interested in analyzing the cultural shocks that are given in the situations of interethnic contact between the immigrant and the society of recipient. In this respect, much more univocal, forceful and numerous were the explanations of different situations of cultural shock obtained during the fieldwork with the Japanese community. Next we will see a sample of quotes that clearly express the difficulties that a Japanese person must face to interact in a fluid way with a Mexican. In the following citation, for example, we can observe that the importance for the Japanese of the repentance and of the recognition of one's own weakness finds a wall faced with the response perceived as typical in the Mexican:

The Mexican instead of apologizing they say *chinga, chinga*. Even the grown-ups they never apologize ... when someone does something shh! For the Mexicans it is very important to always be worried about *chingar* or to be *chingados*. I *chingo* or I am *chingado* (...) Yes, I also (as a compatriot who is taking part in the interview) bothered people. I had something that I didn't like, it was this, they don't apologize. [A Mexican] is living in the moment, but he is not thinking that something might happen tomorrow or later. He does not apologize. Always says: "it's that ..., it's that ...". We (the Japanese people) apologize all time.

Very related to apologizing, the expression of repentance and of admitting mistake, appear to be the educational customs. In this respect, our Japanese informant affirms that "They taught me that I must say always "thank you" and "please". If not, you are a rude person. That's why my parents insisted that you always have to say "please" and "thank you" so that people respond to you ". In the same discursive line, another Japanese informant affirms that "the Mexican almost doesn't scold children. I do not know in another place ... yes, big problem ... When he does something with things of another person, ah he scolds me. It is necessary to learn".

Obviously, the problem of education and of values clearly differentiated between the Japanese and Mexican societies is not limited only to the social interaction with the children, these educational systems opposed in many senses, generate conflict also between adults. This happens with frequency, for example, in the workspace, in Japanese companies with branches in Monterrey in which Japanese executives have to interact with Mexican employees. We will appeal again to our key informant, who besides being anthropologist, Japanese and immigrant seated in Monterrey, was a translator in one of these companies, situation that in addition forced him to exercise informal labors of intercultural mediator. In his story this person expresses implicitly, across a concrete situation, the Japanese concept, notably paternalistic, of the relation between bosses and employees, as well as a significance of the physical punishment very different from the Mexican idea of it. These concepts generate a tense situation, which due to his reiteration, goes from the anecdotal to the structural.

For this reason I mediated, I was not only an interpreter ... when we were going to have dinner (between Japanese) they asked me why the Mexicans were like that and I explained that they were good people and hard-working. These engineers (Mexicans) are capable, but if you kick a box, it is synonymous of wanting you to learn, but the Mexican takes it as a blow ... (If I hit a child it is to say him) " child, pay attention " and if I lose my temper, maybe I must hit you and this doesn't mean that I don't love you. And the Mexican sees it as imposition of power and a dominant-dominated relation is established. Here they say that the one that gets angry loses because if you shout nobody

will pay attention to you (...) I explained to the executives that they have to speak kindly to the engineers. One day one asked me and told me that why he was annoyed: "he hit me in the head ". I told him: "It is not that he doesn't like you, it is because he is worried for you and he wants you to learn and to do your job faster and get a better salary" and this way he understood that it is a way of expressing friendship and fondness.

He concludes the previous quote referring to a particular way of expression of "friendship and fondness" that, from our own cultural position (Mexican or Spanish), can seem to us to be paradoxical. And the specific cultural regulation of emotion and of free expression of the feelings is one of the cultural features that determines, in a big way, intercultural social relations. In this way, a Japanese female immigrant affirmed, with certain valuable ambiguity, that: "(Mexican morality with respect to the Japanese one) is very different. Sometimes, in a good way. A part of the good, for example, here very much love to family. But Japanese don't say: I love you very much. They do not say in the family. Don't say. But here yes. Sometimes, it's good, but sometimes ..." Referring here to a Japanese woman married a Mexican man; she shows a high degree of acculturation in the recipient society, for which she can manage to value positively certain features of this society. But the certain thing is that a common response of Japanese people, in the face of an expression that they consider excessive of emotive from someone else, translates to an evasive reaction or denotes inconvenience. As another Japanese informant affirms "other times he cannot stand so much affection".

Also the value of commitment and trust is something that the Japanese immigrants suffer in their expectations towards Mexicans, because again and again these expectations are truncated. As our informant explains: "When I came here and checked over how were Mexicans. First, I did not like it because ah! 'Yes, yes I go' (the Mexican says) and they never come. They promise, but Mexicans (do not fulfill)... and a lot of corruption ..."

Hitherto we have explained some of the cultural features that provoke the most difficulty for an effective intercultural communication across the experience of Japanese immigrants with a high degree of contact with the recipient society. Besides being married with Mexican spouses, they have a good level of Spanish and are employed at places that forces conviviality with the Mexican society. But the truth is that the great majority of the Japanese community in Monterrey, as we explain in more detail in another part (Doncel, in process of dictum), presents a very different reality, because they are transitory immigrants that come to fulfill their service in multinational companies during a short period of time. For this reason, frequently, they almost neither speak Spanish nor interact with the society of Monterrey for more than the essential things. In these cases, the language turns into an insurmountable barrier, circumscribing their daily interactions almost exclusively to the area of their Japanese-work community. Paradoxically, this situation causes them to practically not have to face any situation of intercultural conflict, because inside their "ghetto" they can cover all their basic needs. This is expressed by one of these Japanese temporary immigrants when affirms (in English) that: "I use to speak in English. But I don't find any problem ... the problem is when I am shopping ... '*muy caro, muy caro*' (very expensive, very expensive)".

As a result of what has been examined, when we invited the Japanese immigrant to indicate the mutual cultural features between Mexico and Japan, in contrast to what happened with our Spanish informants, the Japanese informant affirms that to indicate them is "difficult, because they are very different (the Japanese society of the Mexican one)". This does not mean that the Spanish immigrant does not find difficulties in sociocultural adjustment, but the situations of intercultural conflict between Spanish and Mexicans are much less frequent and of less intensity that in the case of the Japanese.

One of the more common areas of conflict from the point of view of the Spanish, is conflict that becomes clearer in labor relations is the different conception of work. In this respect, one of our Spanish informants affirmed that "(between Mexicans and Spanish) there are different concepts of practicality; whereas the Spanish is more frontal and pragmatic, the Mexican worries more for how instead of when, the form instead of the root (...) Let's put a point 'A' and a point 'B'. For a Spaniard, one arrives with a straight not a rigid line (...) The Mexican sees infinite variations ". In the same line of thought, another Spanish immigrant affirms that:

The view of work (for a Spaniard, with regard to a Mexican) is different (...) I've been educated to do things well and to work as hard as possible. It is a very European view. Here, I see that they are educated to do things in any way (...) There are problems with the establishment of rules. They all skip it. In the first six months I was thinking of leaving the country because of it.

In the following citation, expressed by the same informant as the previous one, we return to refer to the perception of the relations in the recipient society influenced by a conception of domination, of the social relations understood as relations of power in which one is necessarily imposed and the other one submitted. The interesting fact is the different interpretation that is made from this perceived characteristic. So, while the Japanese immigrant focused on the implication of this conception of the social relations on the fact that the Mexican cannot recognize his own mistakes and apologize (which emphasizes the value of the self-criticism of the Japanese), in the case of the Spanish, which we are going to analyze shortly, the same characteristic perceived as general appears now as the reason of the chauvinism and social inequality (which emphasizes the value of equality of the Spanish). This means that the same perceived feature as generalized in the recipient society is reinterpreted and given new importance in the light of the particular cultural substrate.

The presence of the idea between the one that dominates and the one that surrenders, the dominion-submission relation, is very established in the society and it clashes with the idea that we all are equals, especially with the idea of "machismo". This exists in all the levels of the society, and it bothers me very much. Here there is a much more ambivalent perception between domain and submission.

Also in the area of the familiar relations, the Spaniard interviewed in Monterrey finds important differences with regard to Mexicans (though we believe that this only will turn into a problem of intercultural interaction when interethnic marriage occurs). In this respect, a Spanish informant, affirmed that "the Mexican family system is more traditional, it is patriarchal. There is a higher weight in the area of family. Any excuse is good to get the family together". On the other hand, adding a clear expression of the endogroupal favoritism about which Tajfel spoke (1981), another informant affirmed that the family structure in Mexico and Spain are different, because "here (in Mexico) it is a bit apparent (...) more complicated. In Spain it is more sincere, but here it is stronger as an institution (...) The extended family is just as important as the nuclear, in Spain it is only the nuclear one (...) This current structure of the family in Mexico existed in Spain approximately 40 years ago".

This last affirmation, which compares the current Mexico with a past Spain, we think must be emphasized, among other reasons, for the reiteration of this perception not only among the Spanish informants interviewed, but also by the Spanish immigrant in Monterrey that writes these words. Another Spanish immigrant, after declaring that there are not so many cultural shocks between Mexico and Spain, states that there is a difference in the evolution of the societies, so "the impression that I have (to live in Mexico) is like to be living in the Spain of the (seventies) ... because of the idea of male chauvinism, of the link with religion ... ". What is interesting about this widespread impression takes root in the fact that this historical continuity perceived implies a cultural continuity and, therefore, identity. That is, it seems that the Spanish, as national group, feels like Mexicans, just in a different moment of development. On the contrary, from the previously explanation we can deduce that between the identity of the Japanese and the identity of Mexicans there is a much more abrupt break.

### **3. Adaptative responses, according to the Berry's terminology, of the two analyzed communities**

The result of everything expressed up to this point is a certain cultural immersion in the Monterrey society by the Spanish community that we do not find in the Japanese community. That is how the Spanish Consul expressed himself when he referred to the community that he represents: "I have the impression that many people have adapted easily and don't miss so much the life there (in Spain)". From a more personal perspective, another Spanish informant, who considers himself as completely immersed in the Monterrey society, affirmed that "one of my objectives when I arrived was to soak in the Mexican culture, integrate myself, blend in... not to create a subculture or a sort of

Spanish ghetto. Above all because, nowadays, my daily relation is much more with Mexicans than with people of another nationality"

We can see with a bit more of thoroughness the particular case of this informant, because we consider that he represents faithfully the average adaptative solution of the Spanish immigrant in Monterrey, a solution that we could observe repeatedly during extended fieldwork among the subgroups that conform the Spanish community in this city. In this way, the quote that we read next tries to exemplify an adaptative response of the Spanish based on *integration* (Berry, 1980), since we have been able to confirm that there is a Spanish community in which these immigrants coexist, socialize and reproduce their cultural guideline, but that this intracommunitarian integration does not represent an obstacle for their integration with Monterrey society, with whose members they also interact daily and of whom they acquire certain cultural guidelines (always according to their culture of origin). Nevertheless, Berry's types of sociocultural adaptation must be considered as weberian ideal types, for what we are not going to find pure cases. In this concrete case, we can see how a certain trend to the assimilation is deduced from integration.

(Many of my friends) are of Mexican origin, but some of their roots (on the part of their parents) are Spanish. Nevertheless, they are totally immersed in the society of Monterrey (...) I do not gather so much with Spanish people because my idea was to join to the Monterrey culture more than to generate my own space here (...) Though I continue keeping touch with other Spaniards who live in cities in Mexico, like Guadalajara and Mexico City (...) My contacts with the Spanish in Monterrey are few ... On Columbus Day I went and passed time with the all Spanish community in Monterrey ... but besides that they are very casual, shallow contacts.

The same informant, married to a Mexican woman and resident in Monterrey for more than five years, relates the important role that compatriots play in the beginning of his process of integration, who eventually lose their support role for the newcomer. In conclusion, he synthesizes how his process went from segregation, to assimilation, on to integration.

The first years it (the relation with compatriots) was important because there were six Spanish colleagues (at work) who were here like me, all in the professional area ... (Conviviality outside of work) existed, but everything arose from the labor aspect. At the beginning we got together every week or every weekend, gradually and immediately after that everyone was doing their life and their personal dimensions and each time we meet less.

Another of the Spanish immigrants, the Consul of this country, shows an adaptative process that we can also locate in general terms in the area of integration, but in this case with a higher trend towards segregation. Here we must consider the professional nature of the interviewee, which demands a proverbial national identification of the subject, just like in a temporary migration similar to the Japanese who come sent by their companies for limited periods of time. These are undoubtedly conditions that should contextualize his concrete adaptative sociocultural response, as well as the generalized response that he perceives between his compatriots. The citation is as follows:

In a personal way I have begun good relations with the people of Monterrey... but not a friendship in the strict sense of the word (...) The people here (of the Spanish community) comment that the "*regio*" invites you to his house less often, keeps more distance, gives you less trust and these type of things. They say that many of the Mexican friends that they have here, are not from Monterrey (...) for persons of the third group (Spaniards without a Mexican passport) it can prove to be a bit frustrating the much closed environment that they live in Monterrey.

In any case, we are far from being able to affirm that the Spanish community is segregated from Monterrey society, whereas in the Japanese case it is unquestionable that what marks the adjustment of the Japanese community is segregation. This is explained by the Honorary Consul of

Japan in Monterrey, of Mexican nationality, who affirms that " (the Japanese) don't join to the (Monterrey) community very much, they gather amongst themselves and many of them do not bring their family with them, they come alone. (...) it is not an active community and doesn't have a great interaction with the outside (...) The Japanese do not come to assimilate the culture ". This way, the

Consul portrays a completely hermetic community dedicated to work:

The Japanese are very reserved, I never meddle in their private life, with their social life ... I don't know their wives, if they have children or not. In spite of the fact that we meet frequently we are not friends (...) The community is very volatile ... they come and go away (...) Of the hundred percent of the time of these Japanese who are here in Monterrey, ninety per cent of the time must be spent at work and ten per cent with their family ... No social activities at all (...) There is a meeting (in the company DENSO) ... between them, they are approximately 30 but it is informal and when I have taken the ambassador to these meetings they tell me, very diplomatically, to wait them out, they don't want Mexicans.

This view is confirmed point by point by the Japanese anthropologist in Monterrey (who also is investigating his own community) when he affirms that between his compatriots:

There isn't a quest for relations with the recipient society. One (reason) is in the limited time of their contracts and another is that they don't speak Spanish ... and communication with Mexicans often is meddled by interpreters. So they remain in their very closed circle and in link with Japan (...) There is no participation due to the language, even in their labor activity sometimes an interpreter is needed (...) The time of their contracts is an obstacle for integration to the society and the language is another one, (because) the majority do not speak Spanish just English.

Finally, other one of our informants, in spite of not forming part of the majority group (that is, the immigrants sent by their companies, which are those who present an extreme degree of segregation), again shows us an image of disconnection and isolation towards the recipient society, now justified by the feeling that provoked by the many cultural shocks to which we referred above: " That's why I don't want to contact so many (local people in Monterrey), because they hurt me and tire me. So no "

### **Conclusion:**

The principal conclusion that we can deduce from our work is the corroboration of our initial hypothesis, according to which the cultural distance, real and perceived, between the emitter society and the recipient society results to be an important explanatory factor of the degree of integration of the foreign immigrants. Nevertheless, here we have to distinguish clearly between the more characteristic aspects of the culture (we have concentrated on language and on religion) and the more subjective and dependent aspects on the context of comparison. Though all the cultural guidelines (law, values, beliefs ...) internalized determine clearly the fluency or the inflexibility of the relations with the members of the recipient society, the truth is that the individual shows, in the case of need, a capacity for adjustment that provokes a change in his intimate cultural constitution and in his way of relating to the "others"

Here we must emphasize this "in the case of need ", because the cultural distance is as determinant for the success or failure of the intercultural communication as the specific circumstances of the migration. This is clear when we concentrate on the Japanese community, whose members are mainly sent by a company from their country, with a very definite aim and with expiration date. These conditionings do not allow them to interact with the wider society where they are temporarily inserted and, which seems to us to be more important, do not allow them to learn the only indispensable cultural feature to initiate a process of acculturation: language. Though the ignorance of the language of the place of destination is clearly an insurmountable barrier for the adjustment and that invariably drives to the constitution of the "ghetto", it is not the same with another cultural feature that we have considered to be essential to any culture: religion. During the fieldwork between Japanese and Spanish, this has never been indicated as an obstacle or as a bridge to improve the intercultural

communication, though undoubtedly the forms of sociability expressed by each of the subjects are influenced indirectly by the values promoted by two religious traditions so distant.

In this respect, the cultural differences perceived and the experienced situations of intercultural conflict, undoubtedly represent obstacles for sociocultural integration, but this problem has never seemed to be insurmountable (as long as there is the desire of overcome it, a desire caused by the need to adapt). As an encompassing example we have the story of the process of acculturation experienced by the Japanese anthropologist who has been our key informant for this work. It must be remarked that his particular migratory circumstances (migration that we can categorize as "adventurous", because he doesn't not have support of any institution from his country) and his occupation, made his integration to the recipient society necessary and, certainly, that for it he had to learn the language. In this respect, our informant affirms that "what you need as anthropologist is to adapt ". Likewise, he explains that the Japanese sent by their companies preserve their Japanese traditions, whereas those who migrate in an independent way adapt to the guidelines of the new culture. The following quote condenses the process of acculturation of someone who decides to go freely through this process, someone who, in order to live and to be established in a new society, decides to sacrifice "the Japanese criterion" of evaluating and acting in his daily social life.

Look, when I came to Mexico as a tourist any inconvenience was welcome. In a certain way anthropologists have to be like masochists, like culturally shocking and disagreeable elements. I was like that. But when I started living in Mexico, starting in 98, I had a Mexican neighbor who was living alone, like me, and we were always helping each other. But often I was scolding him because he was younger than me and then ... That is also odd, why do I have to scold the younger one? ... So I was applying the Japanese way. But then I realized why I get angry all the time with him ... and also when I went to do paperwork or buy something and be in restaurant, all the time I was angry. And one day I thought: "I was not like this in Japan. I was very calm and was trying to be always nice and tolerant with the others, but lately I am intolerant and am annoyed and shouting at my neighbor and friend ". And then I thought it over: "I do not believe that Mexico is bad, or my friend is bad. Rather the problem is what I have inside", because I was always looking at people with a Japanese criterion. And when I realized this, I calmed down very much. Why do I get angry?, Why am I always comparing with what I can enjoy in Japan?: the service, the customer service, the peaceful form to establish friendship ... But I do not live in Japan, I live in Mexico, so I have to learn to adjust my criterion. From there, I tried to accept anything and then, before getting angry, to stop and think why I felt uncomfortable, with what he did or said to me. And it's that I interpreted these behaviors, these comments, with my Japanese criterion. But, how might I interpret it with the criterion that the Mexicans use? And so, step by step ... and nowadays the Japanese criterion is almost eliminated.

Besides serving us to conclude our work, also this testimony represents the opening of a new line of investigation: the reconstruction of the social identity of the immigrant from a non-communitarian but individual point of view. Though hitherto we have worked on a level of communitarian analysis, examining cultural features and situations of interethnic contact (of concrete individuals but understood as integral part of a human group) and distinguishing its influence in a way that acquires the adaptative solution of every community, the truth is that all this has clear repercussions on the personal identity of the immigrant. Thus, from comes forth the intention of approaching in upcoming works an analysis of the reconfiguration of the identity of the immigrant to a more subjective, more psychological level. Here it would be necessary to propose such investigative questions as: what is the influence of the cultural distance between the origin society of the immigrant and the recipient society and its particular process of identity reconstruction? How does the degree of adjustment of the immigrant to the recipient society influence in this process of identity reconstruction? How does the degree of adjustment of the immigrant to the recipient society influence in this process of identity reconstruction? Finally, another work that can remain here as a pending issue would constitute the construction of a scale of measurement of the cultural distance between societies that allows us to establish this magnitude in a more precise way.

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# THE INFLUENCE OF TRADITIONAL VALUES IN CHINESE REASONING (A Case – Study)

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## Abstract:

In this case-study we try to emphasise how traditional value as mental programs can be find in a modern Chinese life and teaching. Using anthropological and ethnological methods we can better understand the universal reasoning and also, if they are, some differences, how they are operating in different areas and why? We made observation in Chinese culture and tried to compare them with western logic reasoning.

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**Key Words:** Mental Program, Education, School Culture

## Introduction:

The major theme we were focused on this *case-study*, realized in Zhangzhou, Fujian Province, R. P. China is about the influence of traditional Chinese values as logic reasoning in modern school and education. In this case study it was used as a main method the anthropological and ethnological immersion, participative observation in the real social and school environment.[13] Researcher have been living in campus, teaching students, and visiting several schools, taking notes, photos, recording a lot discussion in meetings with teachers and students. Not all of this will be discussed here. We choose only the importance of Chinese languages as mental organizer and show if traditional value like accepting together what we call opposite is working in their reasoning and which are the results of it.

At first, we have noticed everything we found, but in time we have been aware that we should select data. We try to forget our culture and presumption we've carried with (as they believe that everything is happening in China is about present official politic).

At the end, we found that the traditional values are preserved in the new models that they imported from West (curriculum, act, legislation, concepts) by mental program embedded in their languages, practices, and beliefs.

## 1. Mental programs

Chinese are using a different mental program as semantic memory (important in mathematic study), Ying-Yang philosophy and structure of Chinese language (that explain their ability in relative tasks and connections) stereotypes (about authority, community in social organization), and many others. Some parts of their achievement, supported by traditional presuppositions and tacit beliefs are successful and some parts are not. By example, they are successful in maths, techniques, sports because they preserve in national curriculum ancient practice (double system of numbering, traditional sports, calligraphy).

Natural Chinese language as mental organizer program enabled them, by example, to have a holistic view about the world, avoid controversies, but make them have difficulties to learn western languages as English, because their natural language creates a different mind.

## 2. Some pre-formal operators

We try to emphasize here, as an example, some points we found, following this topic: Some pre-formal operators, like Dasen and Ribaupierre [1] had shown, can facilitate mind to work in a specific way. (Of course, there are many others, we found during our research, like body language, the role of traditional sports, the role of music as mind organizer, or meta-programing solutions for other mental programs and so on and so on).

In this issue our purpose is to add some points to the Neo-Piagetian theory, which are extending the image about rational mind and education in different culture. There are already some contribution about cross-cultural researches in educational field, made by and Kniping [6]; Pepin [7];[8];[10] Pepin and Hargarty [9].

We have been focused only in logic reasoning; what is rational for Chinese mind and why? Because tacit value, assumptions are deeply embedded in languages our hypothesis was we can discover some clues searching Chinese language structure. Identification of different procedures from natural languages used to count and put together things called classifiers, leads us to the idea that they create a different image, map of the word. That image is important for many aspects embedded in life situations including education.

Researcher started this study guided by the philosophical framework of Chinese culture, more precisely the holistic presupposition in which “everything is connected with everything else”; and that the explanation of a phenomenon or process can't be isolated, alienated from its context and cuted from the relations with other phenomenon. Also, to be taken into consideration, the interdisciplinary ideas gathered from our lectures and cognitive neurosciences. To get to the point, we knew from recent studies that mathematical skills, language development and even movement reside in the same cerebral areas, the intra parietal inferior as Rickard et al. [11] shown.

If this is indeed the case, this means we can find indices of Chinese mental specificity by observing the way they combine seemingly different and unrelated activities (i.e. music, paper cutting, eating habits, and traditional medicine, beliefs including superstitions regarding names, colours and luck) and, mediated by culture, the way they develop complex cognitive scheme and, maybe, neuronal structures. Usually, cognitive schema as knowledge units, acquired non-critically, tend to be rigid and dogmatic. Counterintuitive, here we will observe a truly amazing plasticity especially in bi-cultural individuals or those that are becoming so.

### **3. Everyday life and school**

Our observation began, of course, with everyday life and some about school curriculum. In everyday life they are using a holistic conception. In society or the relationship with nature, this takes the form of harmony, peace, understanding or merging, sustainability, following trough, group interest. We were surprised to find that the Logic as a subject is missing from the school curriculum. And the practice of logic reasoning, in the Aristotle manner, is not assimilated as an exercise. Contradictory discussion as controversy is difficult to spark and maintain, mainly due to the conflict avoidance scheme engrained in Chinese culture, they said.

The education in schools, with its general subjects, is similar to ours. They incorporated electricity, hygiene, biology as modern acquisitions and use them for explaining world phenomena, but they still keep and invoke their traditional knowledge as an alternative. Along those lines, their social interaction strategies are permeated with stories (in which the hero acted or said this or that) or a short poetry (usually learned as an early childhood imprint) aimed at defusing social tensions, empathizing, and basically changing one's point of view by appealing directly to the one's emotional core. Regardless of educational level, the bearers of Chinese culture maintain their immersion in traditional, archetypal world. At least, in this part of China, South-East, Fujian, the school is a way of anchoring the individual in modern life.

Nevertheless the official scholar, curriculum keeps feasible, elements of classical culture. The ancestral knowledge hasn't been pushed aside in the mythological realm (as it is the case with other cultures); it is still being enacted in everyday life. Y. G., our assistant, a student from English Department told us once, that he has to go buy “some herbal medicine” because he's got too much “fire” in his organism. He further explains in response to our inquiry that he's not talking about emotions or tiredness, but there's too much “red” and not enough “black” in the Ying-Yang, therefore it's his responsibility to re-establish the equilibrium in his organism.

We're asking more explanations but he cannot give us. Herbal ailments are now canned like Coca-Cola. “Nothing is special, he said, the modern Chinese civilization packages the tradition, so it can be easily used” (Wang - student). Again, we try to ask for a logical, hard faced explanation and in spite of the fact that his English is very good, he replies with a glint of pity in his eyes, that he doesn't has the necessary terms to convey the meaning. Such as it may be, we still look with suspicion on the

fact that, that kind of logic and rationality (as it is considered rational in our western mind) is not always an important factor in decision making in their everyday life.

Obviously, the surface culture did impose atheism as a conception about world and life. Therefore they've got days of political propaganda at which it's their duty to attend to evens, though, in student's own words, "there's nothing interesting there". Meanwhile, at global meta-programming level, everything that might not be integrate in Marxism is being marked by officials as tradition or superstition as a soft form of rejection, because they still play a major role in society as parental and ancestral respect. For example, even though marriages aren't prearranged, as they used to be in the past time and the feelings of the young maters a lot, their parents still have to agree before the wedding takes place. In order to determine the outcome of the marriage, the parents use the I Ching divination system by asking a "superstition expert", a fortune teller. This modern shaman compares the birthdates of the new couple to determine their compatibility. So, the magical past is still an integral part of their lives. If we ask them about such unusual things, they usually answer that they can't explain because of the cultural incompatibility that separates us. This is one of the reasons we have come to believe that there's more than just one form of logic and they are using other varieties.

#### 4. Language as logical organizer

The hypothesis on going research was that logic thinking is deeply influenced by natural language and that language is using some different procedures of reasoning. Since 1960s some authors took this standpoint, the more preeminent being S. Dehaene [2]. He emphasized that Chinese students are good at mathematics because their natural language is simpler when they are composing the natural numbers like 11, 12 saying this of this effect: "ten one" and "ten two", and they are not using words permeated with complex meanings or complicate procedures.

Actually, we discovered the opposite: they are using more words and very strange procedures to organize the world. In order to better understand all this and because we don't have any other research tool of handling and studying, except the anthropological method of immersion in that new culture, we started to learn Chinese language. First, we had to reject any prejudice and became free and open minded. Therefore, two aspects of "language as logical organizer" become more and more relevant for us: the semantic of anecdotal stories and the role of numerical **classifiers** or **measure words** as Yang [12] said.

The reputed sinologist Marcel Granet writes in the first chapter of his book "Chinese thinking" about the suggestive power of Chinese language: "...the word, in Chinese, is not a symbol aimed at conceptual depiction. It doesn't correspond to a notion to which it should be attributed, as precisely as possible, the degree of abstraction and generality." And he wrote further: "The success of those fables is closely tied to the neutral power they emanate, a sort of archetypal evocation that takes place in the listeners mind. (...) in other words, they predispose the spirit or emotional competence, to accept a suggestion. Instead of building onto a logical framework of predetermined ideas, they appeal to the imagination and bend it into docility while the general purpose of the presentation invites the listener to take a defined path." Granet [5] All novels and tales had a profound influence on Chinese mind. When they are talking about righteousness they are thinking of hero like Guan Yu (160-219 C.E.) than of the abstract concept itself, or if they are talking about loyalty they are thinking naturally of Yue Fei (1103-1141 C.E.), the general and his story as a person who fought for his country and if they should talk about honesty or are thinking of military counsellor, Zhuge Liang (181-234 C.E) (Stories collected by our students)

More interesting became for us these words called classifiers. The natural languages used them for counting things. In Chinese languages, always when we count, we are using a special word between the real number like 1, or 2 and the word which are designating a group, having a determined propriety. This kind of counting is not used in European languages and we believed it is a new "kind of logic" of natural thinking. Western languages can build a "pyramid of notions", generalization and jump from one level to another to create the abstract notion (see any logic or psychology textbook).

This is a vertical logic organizer produced by natural western languages. In Chinese they are doing something different and organize the mind, logically speaking, in horizontal style. By example:

- 1, 2, 3 tiáo (Things which can modify themselves by curving their bodies) e.g. máo jīn (towel), lǐng dài (necktie), shé (snake), lù (road), hé (river);

- 1, 2, 3 zhāng (Things which can be modified by covering) e.g. chuáng (bed), zhuō zǐ (table), zhǐ (paper), zhào piān (photo), zuǐ (mouth);
- 1, 2, 3 bǎ (Things which can modify their position by manipulation) e.g. dāo (knife), yǐ zi (chair), shàn zǐ (fan), sǎn (umbrella), hú (teapot). (translation realised by Zeng Shuhui, student)

So, only the similar “object” can be counted using the special word, and only this on: **tiáo**, or **zhāng**. These kinds of classifications are organizing the world with criteria that Aristotelian logic never thought: “Things which can modify themselves by curving their bodies”; gathering objects even they are animated or not like in the first example „snake” and „road”. The criteria are always “action” and never been the content, substance, nature of the object. It is important how they are behaving or could be influenced by human beings. Here is about non-monotonic, contextual logic and also inductive reasoning, not about deductive reasoning. Of course, the language has general notions, but those are integrative words like “nature”. Also this notion is expressing the possibility of evolution from itself. In Nature’s actions is not involved any cause or reason!

In Chinese languages the result is that: all this things can be together in the same class, but are isolated by other groups. The world is organized like many “islands” which can’t be included each other, or builds a “pyramid” losing some proprieties.

If Western reasoning objects are substance, than they are using as criteria proprieties of substance, and are adding or rejecting some of them and can create new more general words. Chinese are thinking that objects can stay each other’s, but never “lose proprieties”. So, in order to organize things, process, phenomena, they use a special word, like this “classifier.”

We can have a logical formula like this: Natural numbers chain 1, 2, 3, 4...are attached for a classifier word, that work as organizer ( $K_1$ ) for a object class (o, p, q, m...) having the propriety F. For the same numbering chain 1, 2, 3, 4 can be attached for  $K_2$ , another organizer for another object class (w, u, t, x...) having the propriety G. Propriety F is different from G, as tacit knowledge. Group (o, p, q, m...) is different from (w, u, t, x...);

Or we can have an correct sentence only like this: [1, 2, 3 ( $K_1$ ) {F\* (o, p, q, m...)}] v [1, 2, 3 ( $K_2$ ) {G\* (w, u, t, x...)}] v.....or [(1,  $K_1$ , o.....); (1,  $K_1$ , p...)...(3  $K_1$ , q...)...and so on]; or [(1,  $K_2$ , w...);(1  $K_2$ , u...)...(3  $K_2$ , t...).... and so on] but never like this: (1,  $K_1$  w....), or (1,  $K_2$ , o....) because of K (different classifier!)

Having this actionable criteria this language couldn’t make possible abstract notions and syllogistic reasoning, but they can have an “actionably”, defeasible reasoning, non-monotonic logic (they should check carefully before deciding to pick something). Classifiers make some constrains to the mind organizing the objects in exclusive classes and create the ability to choose and pick up from a large horizontal field.

### Conclusion:

We have been very surprised to find all these and what we try to suggest here it is not about how they count and are doing arithmetical operation, but is about how the natural languages enabled us to use criteria and what kind of criteria and what for. That means here we found more than a holistic vision about the world, but a contextual logic, because they use tacit knowledge and defeasible procedure. Language keeps this as a pre-formal acquisitions (post-piagetian authors call them “organizers”) Children use natural language after that they apply it to any daily life and after that school situation, learning or reasoning. Maybe they find our deductive reasoning sometimes difficult and not “natural” at all, they should convert themselves to our paradigm of reasoning and also we should made a big effort to understand them. For them this kind of isolation, qualitative horizontal pattern is not just inductive model of thinking, but is also useful for other situation, or accepting two different contradictorily point of view in the class, wandering why to choose only one answer to a survey, or the most cited nowadays saying about China as “a country and tow system”, or three religions settled together from centuries (Confucianism, Buddhism and Taoism), or scientific education and magical practice, and so on and so on.

All these and perhaps many other strange things can stand as explanation for many things, that we couldn’t yet explain properly using our reasoning. Maybe that western reasoning is not such

universal we believed before. Doing more researches it might be a good way to study culture school also, before labelling them as conservative, resisted school. The most important thing is to study hidden values and understand how they make their mind or school work better, or not. Cross-cultural comparisons point out to possible directions that could be followed and about which the researcher is not yet aware.

Thus, cross-cultural authors are forced to adopt a different cultural perspective, to learn to understand the processes of another culture and to see it from the native's viewpoint, meanwhile also reconsidering their own country from the perspective of a skilled outside observer. Of course, qualitative methods are required, may be a case study which enabled us to overlap some traditional value from cultural background in contemporaneous school life. Those tacit elements become responsible for different procedure, different style or behaviours in everyday life and school. So far, that new kind of enterprise needs to study before cultural products (beliefs, customs, rites, natural languages) that embodied tacit knowledge and can make them manifest.

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# THE IMPACT OF NATIONAL CULTURE ON ONLINE SOCIAL NETWORK USAGE AND ELECTRONIC COMMERCE TRANSACTIONS

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## Abstract:

Computer-based social networks have become the new phenomenon in the Internet era. Millions of people are networking and exchanging contents. In the real world, one may have a very small number of friends to exchange with, whereas, in the virtual world, virtual fiends, who sometimes may convert to real friends are counted by hundreds if not thousands. Previous research has largely documented the impact of national culture on information technology usage. It has been clearly noticed that the number of social network users in the Arab world has always been dramatically increasing in the last decade. This paper presents the theoretical explanation of this phenomenon and argues that the high power distance and collectivist dimensions of the national culture in the Arab world are major factors which may increase social network usage. However and paradoxically, we argue that the same factors may pose barriers to electronic commerce business transactions in the Arab world. Arabs prefer to conduct transactions in face to face mode and not in the online world.

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**Key Words:** National culture, social networks, electronic transactions

## Introduction

Computer-based social networks have become the new phenomenon in the Internet era. Millions of people are networking and exchanging contents. In the real world, one may have a very small number of friends to exchange with, whereas, in the virtual world, virtual fiends, who sometimes may convert to real friends are counted by hundreds if not thousands. Previous research has largely documented the impact of national culture on information technology usage. It has been clearly noticed that the number of social network users in the Arab world has always been dramatically increasing in the last decade. This paper presents the theoretical explanation of this phenomenon and argues that the high power distance and collectivist dimensions of the national culture in the Arab world are major factors which may increase of social network usage. However and paradoxically, we argue that the same factors may pose barriers to electronic commerce business transactions in the Arab world. Hofstede (1993) and Trompennars (1998) claim that national culture in the Arab world is characterised by high power distance and collectivism. In high power distance countries, the family ties are strong and the unequal distribution of power is legitimately accepted by people. In collectivist cultures, groups matter and are given more weight and more importance than individuals. We argue in this paper that the usage of virtual social networks such as Facebook, Linkedl, Twitter. In high power distance and collectivist culture would be very high than in other cultures. We also argue that paradoxically, these dimensions may explain the shy volume of online transactions.

## Social networks

Social network refers to a category of internet applications that support the connection between the two parties through several online tools. The interaction includes developing and sharing contents to one another. Barnes (2006) further claim that social network sites (SNS) are web-enabled services that “allow individuals to (1) construct a public or semi-public profile within a bounded system, (2) articulate a list of other users with whom they share a connection, and (3) view and traverse their list of connections and those made by others within the system”.

In this paper, we use the term online social network (OSN) to refer to the computer-based social network. The OSN has become a big phenomenon in the last five years or so. The behavior of internet users has changed from using emails and search engines to creating, uploading and sharing personal content to connect with cyber friends. Social networks and consumer-generated content give users opportunities to interact in real time as well as to create constant and large user base (Kozinets, 2002, Harris and Rea, 2009). Wattanasupachoke (2011) argues that since there are more people joining social networks, it becomes a great tool for a company to communicate with consumers. He further adds that the 2010 marketing budget on social networks was as high as 3.3 000 million dollars (3.3 billion dollars). In expect to grow continually around 30% in 2011. Facebook has the highest market share at 39%.

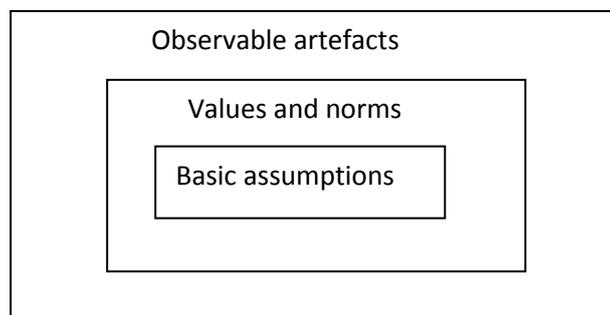
It becomes a fact that holding people data about their profiles and to reach them is the major asset organizations may own. Large organizations such as Skype, FaceBook, Twiter... which provide free access to their systems, are worth billions of dollars in the market. Holding people data may help firms know people profiles, design customized products and services and conduct business transactions. I wouldn't be surprised to find out that a very large portion of OSN users ignore this business goals and reasons why these systems are free of charge. In the following sections we will discuss national culture and how it may act as a major factor that boosts the number of users in the OSN and at the same time act as a barrier against online business transactions.

### National culture

Culture is a term that was originally developed in the field of anthropology and has recently become a prevalent research area in organizational studies. Unfortunately, a consistent definition of this ambiguous concept is extremely difficult to isolate (Lammers and Hickson, 1979). The complexity of the concept of culture derives then from the multiplicity of the perspectives that investigate it. One thing that all researchers agree upon it the fact that culture is related to people. In 1952, the anthropologists Kroeber and Kluckholn claimed that there were more than 150 definitions of the concept of culture. Baligh (1994) also argues that there are many ways to describe and define culture and that one may conceive of culture in terms of its parts and its components, and the two are related. Culture concerns a group of people who share a common understanding and meaning of things around them. It is a shared system of meaning (Trompenaars and Hampden-Turner, 1998) or, the collective programming of the human mind that distinguishes members of one group from another (Hofstede, 1993). Trompenaars and Hampden-Turner (1998) propose the following model to understand culture.

Figure 1

Trompenaars and Hampden-Turner (1998) cultural model



The above model indicates that the products of a culture (observable artefacts) are symbols of the norms and values of the people, which in turn are based on fundamental basic assumptions about human existence and life. National culture is a major type of culture.

National culture is a concept that helps determine similarities and differences between the cultures of the countries.

The literature provides some models which try to capture the concept of national culture. Hall (1993) uses a single dimension; high context versus low context to differentiate between national

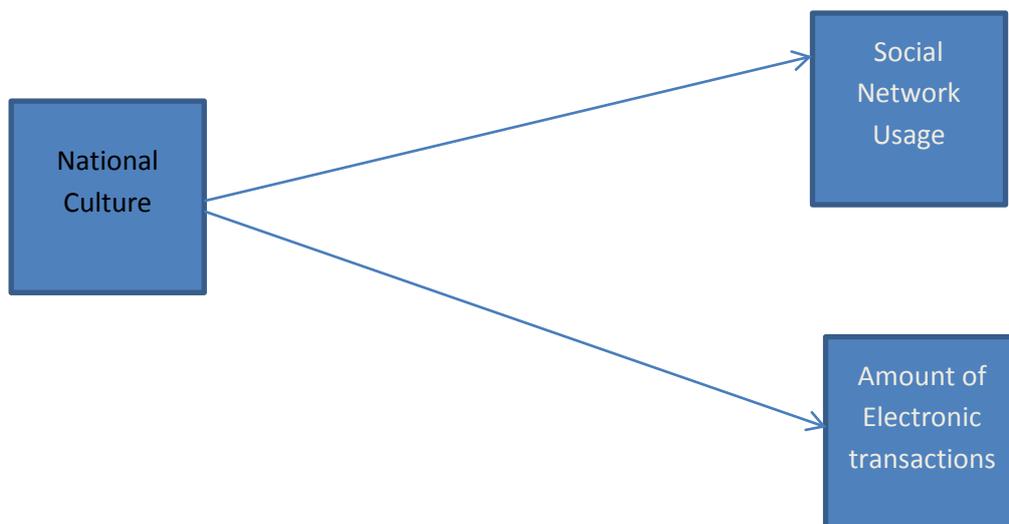
cultures. High-context cultures (including much of the middle east, asia, africa, and south america) are relational, and collectivist. People in these cultures emphasize interpersonal relationships. According to Hall, these cultures are collectivist, preferring group harmony and consensus to individual achievement. Explicit information is not so important as context, which might include the speaker's tone of voice, facial expression, gestures, and posture. Low-context cultures (including north america and much of western europe) are logical, linear, individualistic, and action-oriented. People from low-context cultures value logic, facts, and directness. Decisions are based on fact rather than intuition.

Hofstede (1993) proposes a multidimensional model and suggests that national culture and values, as they affect the work environment and its management, could be categorized on the basis of four dimensions, namely: power distance, uncertainty avoidance, individualism–collectivism, and masculinity–femininity.

The values of people in a particular culture are the most widely used concept or variable in cross-cultural studies (Glenn and Glenn, 1981; Hofstede, 1993; Triandis, 1982). The reason for the popularity of values as cross-cultural research variables is the deeper layer of culture; basic assumptions are preconscious (taken for granted) and are powerful because they are less debatable than espoused values (Lachman, Nedd, and Hinings, 1994). Trompenaars and Hampden-Turner (1998) suggest differentiating between norms and values in claiming that values direct our feelings of good and evil, and that norms are the basis by which a group of people judge something as right or wrong.

### Research Model

We argue that in Arab countries where the culture is characterised by a high power distance and collectivist indexes, the usage of online social networks would be very high but the online commerce transaction would be low.



The dimensions of “power distance” and “uncertainty avoidance” are the most studied variables in cross-cultural research. Power distance “is the extent to which the less powerful members of organizations and institutions (like the family) accept and expect that power is distributed unequally”. Individualism and Collectivism refer to the “degree to which individuals are integrated into groups. In individualistic societies, the stress is put on personal achievements and individual rights. People are expected to stand up for themselves and their immediate family, and to choose their own affiliations. In contrast, in collectivist societies, individuals act predominantly as members of a lifelong and cohesive group or organization” (Wikipedia). The Arab countries have high power distance index and are very collectivist cultures. The collectivist characteristics imply that people in the Arab world would be willing to stay in constant contact with other people. They would prefer to share ideas and be members of groups. OSN provides a virtual and a logical extension to the

collectivist environment sought by Arab people. New groups are added to the traditional family and close relative ones. High power distance index in the Arab world means that power is not shared equally between members of the family of institutions. For example the fathers in high power index culture have more power on the remaining members of the family. If one accepts the legitimacy of the unequal distribution of power, he or she would likely prefer to exercise power and seek the privilege to possess it over others. The OSN provide a virtual environment where Arab people would be willing to exercise power of the words and information. The interactions between people and the exchange of information and ideas help a user see where he or she stands in terms of words leadership. She or he is always would be trying to be convincing and advancing others to accept that his or her ideas. Add to this, the natural human desire to share knowledge, ideas and information with other people and to know how people think about different things combined with the willingness to test your views and intelligence in the virtual world. Yeslam and Begg (2004) found that users of OSN in an Arab country “became more flexible in their thinking, more aware of the diverse nature of people within their society, less inhibited about the opposite gender, and more self-confident.

People in collectivist high context cultures prefer to interact between each other. Face to face negotiation is very much appreciated. The desire of feel-and-touch is very high in collectivist cultures than in individualistic low context cultures. Consequently, it is no surprise to notice a shy volume of Electronic commerce transactions in the Arab world.

### Implications and Conclusion

The implications of this discussion to the owners of social networks are numerous. First, they would innovate on strategies that attract more users and therefore build a very large database of users. Second organizations who own pages on social networks should use the content of the users interactions to design new product and services that can be aligned with the psycho-cultural aspect of the Arab users and push users to buy them from the physical store.

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## TESTING THE DEVELOPMENTAL ABILITY OF LEADER'S EMOTIONAL INTELLIGENCE WITH AGE ON ESCI

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### Abstract:

This study examined the developmental ability of emotional intelligence with age using ESCI, a re-conceptualized measure of ECI 2 thru an upward feedback method. The sample included leaders (n=500) between the age range of 24-62 years belonging to various IT and manufacturing companies of India and their raters were direct reports (n=1500) between the age range of 19-62 years. The study finds that, EI of leaders (as perceived by self and others) consistently increases with age (from 24 to 45 years) but after reaching its peak at 45 years it declines in the fifth and sixth decade of life due to the decline in the Self-awareness competencies among older leader's. The agreement in self-others ratings proved to be a better predictor of rater accuracy in evaluating leader's EI on ESCI.

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**Key Words:** Emotional Intelligence, Age, ESCI, Self-others ratings, Upward feedback method

### Introduction

One of the important factors contributing to the popularity of theories of emotional intelligence (EI) is the assumption that, EI can be developed (Emmerling & Goleman, 2003) and learned at all ages (Shapiro 1997, Goleman, 1998). Unlike cognitive intelligence (IQ) which increases up until late adolescents and then begins to mildly decline in the second and third decades of life (Wechsler, 1958); EI is neither hereditary, nor its development occur in early childhood ages; as one gets older, one becomes more emotionally and socially intelligent (Bar-On, 2006). Though there has been a great degree of skepticism on this point, growing research related to outcome studies and program evaluations reported by the popular measures of EI construct namely, ECI (Boyatzis, Goleman, & Hay/McBer, 1999; Hay Group, McClelland Center for Research and Innovation, & Wolff, 2005), EQ-i (Bar-on, 1997), MSCEIT (Mayer, Salovey, & Caruso, 2002), SEI 2 (Fariselli, Ghini, & Freedman, 2006), ie-Q (Maddocks & Sparrow, 1998) and other equivalent measures of EI provide evidences that EI competencies can be developed (Emmerling & Goleman, 2003) with increasing age and life experiences (Singh, 2006); However, additional evaluation studies would be a welcome addition to the literature (Emmerling & Goleman, 2003).

The current study has been designed to examine the developmental ability of EI with age among the leaders of varying age groups between 20's to 60's. The upward feedback obtained from the direct reports on Emotional and Social Competency Inventory (ESCI), a re-conceptualized measure of ECI 2 (Boyatzis, 2007) will serve as a rater source to validate the self-other's perception of leader's emotional intelligence on ESCI.

### Emotional Intelligence and Age

Goleman (1998a) refers to emotional intelligence as a set of competencies, or abilities to recognize, understand, and use emotional information about oneself or others that leads to or causes effective or superior performance. And, an emotional competence is a *learned capability based on emotional intelligence that contributes to effective performance at work* (Goleman, 1998b) often with an emphasis on those in leadership positions (Emmerling & Goleman, 2003).

Within the emotional intelligence paradigm there exist not one, but several theories (e.g. Bar-On, 2000; Goleman, 1995:1998; Mayer & Salovey, 1997), all share a common desire to understand and measure the abilities and traits related to recognizing and regulating emotions in ourselves and others (Goleman, 2001). Similarly, reviews of popular theories on the relatedness of EI and age reveal that, emotional intelligence is a developing ability; there is a positive relationship between age and EI

and that EI increases or develops with age and experience (Goleman, 1998; Salovey & Mayer, 1990; 1993; Maddocks & Sparrow, 1998); the influence of age proposes that EI goes up with age, at least up to the fourth or fifth decade in life (Bar-on, 2000; Kafetsios, 2004; Stein, 2009; Bradberry & Greaves, 2005; Singh, 2006); some of the aspects of EI can only be developed through training (Fariselli, Ghini, & Freedman, 2006).

### **Review Of Literature**

The most popular measure of Goleman's (1998) theory of emotional competence is the Emotional Competence Inventory (ECI and ECI 2). Research findings reported in ECI manuals (Boyatzis, Goleman, & Hay/McBer, 1999; Hay Group, McClelland Center for Research and Innovation, & Wolff, 2005) reveal that, self and total others ratings were positively correlated with age; self-others ratings for older participants were higher in all the EI competencies than younger participants. Since, ESCI (Boyatzis, 2007) is a new measure, its predictive validity with other outcomes and demographics are yet to be explored and validated.

Research conducted on Bar-on model of EI (Bar-On, 1988) using the Emotional Quotient Inventory (EQ-i) on the population sample of 3,891 consisting people from ages 20 to 50 showed that the older groups scored significantly higher than the younger groups on most of the EQ-i scales; and respondents in their late 40s obtained the highest mean scores (Bar-On, 1997b; Bar-On, 2004). Also, a study on the youths aging 7 to 18 revealed that EI was significantly higher among the oldest group of subjects (Bar-On & Parker, 2000b).

Overall research data collected between 2001 to 2010 from the users of the Individual Effectiveness (ie) questionnaire of EI by JCA (Maddocks & Sparrow, 1998) on the sample of 12,417 working individuals, mainly from the UK managerial population reveal that, overall scores on EI increase consistently with age (from 16 to 50+). However, review of a study conducted on 405 American people between 22 and 70 years old using the Six Seconds' Emotional Intelligence Assessment (SEI 2) finds that some parts of emotional intelligence do increase with age [ $r=.13$  ( $p<.01$ )], though the effect is slight but significant. In addition there are elements of EQ that do not increase with age indicating some competencies must be developed through training (Fariselli, Ghini, & Freedman, 2006).

In light of the above findings, the study aims to thoroughly investigate whether leader's EI increases with leader's age on the self and others versions of ESCI and to determine which cluster of emotional and social intelligence competencies increases the most when there is an increase in leader's age.

### **Research Questions**

The study attempted to answer the following research questions:

1. Are there any differences in the EI scores of young (<35 years), middle-aged (between 35-45 years) and old (>45 years) leaders with respect to their self and others ratings?
2. Does leader's emotional intelligence increase with the increase in the age of the leaders?
3. Which of the four clusters of emotional and social intelligence competencies show the strongest association with age of the leaders?

### **Method**

#### *Sample*

The sample of the study is composed of 500 leaders aged between 24-62 years old and their raters were 1500 direct reports (three raters per leader) aged between 19-62 years belonging to various well established IT and manufacturing companies of India. Purposive random sampling method and convenience random sampling method was applied to choose the respondent leaders and their raters respectively.

#### *Measure*

##### *Emotional and Social Competence Inventory 3.0 (ESCI)*

The Emotional and Social Competency Inventory (ESCI) encompasses 68 items within 12 emotional and social competencies organized into four clusters same as the ECI-2 competencies, Self-

Awareness, Self-Management, Social-Awareness, and Relationship management. The reliability of the scales in the ESCI remains comparable with the ECI-2 (Hay Group, McClelland Center for Research and Innovation, & Wolff, 2005). Pilot study (n=1022) has shown the ESCI to have an overall average internal consistency coefficient of 0.79 for total others ratings. A principal axis Exploratory Factor Analysis with promax rotation showed the factor analytic properties of the instrument to be outstanding. ESCI affirms the accurate measurement of the behaviors that contribute to effective performance (Boyatzis, 2007).

### **Reliability analysis**

In the current study, the scale reliability on the ESCI calculated for rater group (direct reports) remained comparable with ESCI pilot study. The ESCI cluster-wise reliabilities for self-ratings ranged from .71 to .87 (self-awareness .75, self-management .86, social awareness .71, and relationship management .87) while the total others-ratings ranged from .87 to .97 (self-awareness .87, self-management .97, social awareness .91, and relationship management .97). The Cronbach's  $\alpha$  values of the current study are higher in comparison to the ESCI pilot study reliabilities indicating highly adequate reliabilities for ESCI that the data acquired from the scale is reliable and can be used for further analysis.

### **Procedure**

A total of 800 leaders having a minimum of three or more direct reports who are working with them for more than six months were identified and administered the self-version of the ESCI questionnaire. Similarly, the 360<sup>0</sup> version of ESCI questionnaire's were randomly distributed to three of the direct reports of the chosen 800 leaders and were asked to rate the respondent leaders. Out of the pool of returned questionnaires, 500 leaders and their 1500 raters meeting the ESCI norms were randomly selected for further analysis. Using the ESCI scoring instructions (Boyatzis, Goleman & Hay/McBer, 1999) average scores for each of the four clusters were computed for both self and others ratings.

### **Statistical Analysis**

The scored data for all the four clusters of ESCI was fed into SPSS 19.0 and the leaders sample was categorized into three groups based on their age ranges as young (<35 years), middle-aged (between 35-45 years) and old (>45 years). Descriptive statistics was used to obtain cluster-wise mean scores and standard deviation for both self and others ratings of ESCI based on age groups. One-Way ANOVA and Tukey's HSD procedure was used for post-hoc pair-wise comparisons between the leader's age groups and self-others ratings of ESCI. Further, Linear regression was used to establish whether increase in leader's age explained variance in any of the four clusters of emotional and social intelligence competencies.

## **RESULTS**

### ***Question 1: Are there any differences in the EI scores of young, middle-aged and old leaders with respect to their self and others ratings?***

Results on the one-way ANOVA shows that self ratings and others ratings of leaders EI differed significantly across the young, middle aged and old leaders as the  $p < 0.001$  for all the four EI clusters (see Table 1).

*Table 1 - Descriptive statistics and results of One-way ANOVA for self-others ratings*

EI Clusters	Age Groups	N	Mean		Std. Deviation		Self Ratings		Others Ratings	
			Self Ratings	Others Ratings	Self Ratings	Others Ratings	F	Sig.	F	Sig.
Self Awareness	Young	160	4.31	3.72	0.71	0.79	9.941	0.00	8.97	0.00
	Middle Aged	190	4.35	3.97	0.55	0.64				
	Old	150	4.57	3.67	0.37	0.71				
	Total	500	4.40	3.80	0.57	0.72				
Self Management	Young	160	4.46	3.94	0.41	0.67	13.509	0.00	11.609	0.00
	Middle Aged	190	4.51	4.07	0.33	0.58				
	Old	150	4.65	3.73	0.27	0.69				
	Total	500	4.53	3.93	0.35	0.66				
Social Awareness	Young	160	4.45	3.92	0.43	0.62	10.087	0.00	13.757	0.00
	Middle Aged	190	4.48	4.04	0.37	0.58				
	Old	150	4.63	3.67	0.31	0.73				
	Total	500	4.51	3.89	0.38	0.66				
Relationship Management	Young	160	4.48	3.92	0.38	0.67	7.779	0.00	12.96	0.00
	Middle Aged	190	4.50	4.05	0.37	0.60				
	Old	150	4.62	3.69	0.27	0.69				
	Total	500	4.53	3.90	0.35	0.66				

\*\* The mean difference between groups is significant at the 0.001 level.

From the self-others mean scores it is very evident that the leaders have consistently overestimated themselves on all the four EI clusters as their mean scores range between 4.31 to 4.65 whereas for others ratings they range from 3.67 to 4.07 which shows that others ratings are more accurate than the self ratings. Overall mean scores for EI clusters indicate leader's strengths and weaknesses. Both the leaders and direct reports find the respondent leaders to be strong in Self management (M=4.53, 3.93) and Relationship management (M=4.53, 3.90) competencies followed by Social awareness (M=4.51, 3.89) while mean scores indicated the leaders to be weak in Self awareness related competencies (M=4.40, 3.80).

Tukey post-hoc comparisons (see Table 2) of the leaders age groups across cluster-wise self-ratings and others-ratings of leaders EI indicate that the young and middle-aged leaders did not differ significantly ( $p > 0.05$ ) in their level of Self management, Social awareness and Relationship management competencies. When it came to Self awareness cluster, leader's ratings and direct reports ratings differed significantly as the leader's perceived the old aged leaders to be significantly different ( $p < 0.05$ ) from young and middle aged leaders while, the direct reports perceived the old aged leaders not significantly different ( $p > 0.05$ ) from their young leader's.

Table 2 – Turkey HSD Post-Hoc test of multiple comparisons of leader's age

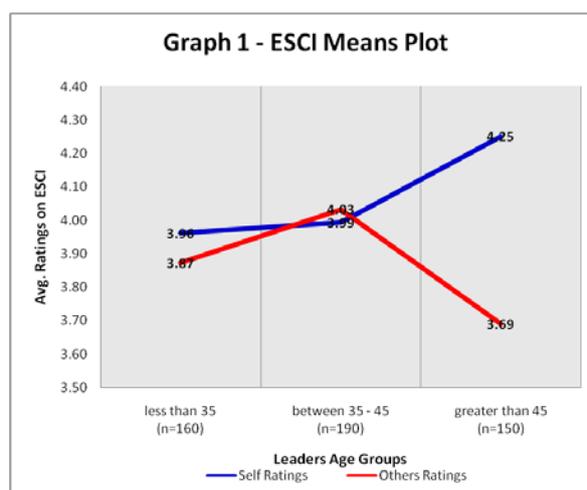
ESCI Clusters	(I) Leaders Age groups	(J) Leaders Age groups	Self Ratings	Others Ratings
			Sig.	
Self Awareness	less than 35	between 35 - 45	0.743	<b>0.004</b>
		greater than 45	<b>0</b>	0.778
	between 35 - 45	less than 35	0.743	<b>0.004</b>
		greater than 45	<b>0.001</b>	<b>0</b>
	greater than 45	less than 35	<b>0</b>	0.778
		between 35 - 45	<b>0.001</b>	<b>0</b>
Self Management	less than 35	between 35 - 45	0.355	0.128
		greater than 45	<b>0</b>	<b>0.015</b>
	between 35 - 45	less than 35	0.355	0.128
		greater than 45	<b>0</b>	<b>0</b>
	greater than 45	less than 35	<b>0</b>	<b>0.015</b>
		between 35 - 45	<b>0</b>	<b>0</b>
Social Awareness	less than 35	between 35 - 45	0.609	0.186
		greater than 45	<b>0</b>	<b>0.003</b>
	between 35 - 45	less than 35	0.609	0.186
		greater than 45	<b>0.001</b>	<b>0</b>
	greater than 45	less than 35	<b>0</b>	<b>0.003</b>
		between 35 - 45	<b>0.001</b>	<b>0</b>
Relationship Management	less than 35	between 35 - 45	0.718	0.152
		greater than 45	<b>0.001</b>	<b>0.005</b>
	between 35 - 45	less than 35	0.718	0.152
		greater than 45	<b>0.006</b>	<b>0</b>
	greater than 45	less than 35	<b>0.001</b>	<b>0.005</b>
		between 35 - 45	<b>0.006</b>	<b>0</b>

\*. The mean difference is significant at the 0.05 level.

\*\*. The mean difference is significant at the 0.001 level.

Means plot (see Graph 1) obtained for overall mean scores of self-ratings for young (M=3.96), middle-aged (M=3.99) and old (M=4.25) leaders shows that older leaders whose age is greater than 45 years have rated themselves very high on EI while the middle-aged and young leaders have rated themselves moderately or we can say more or less accurately. We can notice the increase in EI with the increase in the leader's age (M=3.96 - 4.25) for self-ratings. Overall mean scores of others-ratings for young (M=3.87), middle-aged (M=4.03) and old (M=3.69) leaders shows that older leaders whose age is greater than 45 years were rated the lowest by the direct reports on EI followed by young leaders (whose age is <35 years) while the middle-aged leaders were rated high on EI. Surprisingly there was a steep decrease in the raters scores of leader's EI from middle-aged to older leaders (M=4.03 to 3.69).

However, when the mean self ratings were compared with the others-ratings, average EI self-others ratings remained within the comparable ranges for young (M=3.96; 3.87) and middle-aged leaders (M=3.99; 4.03) indicating higher levels of agreement in the self-others perception of leaders EI, while the vast gap (80%) in self-other ratings of old leaders (M=4.25; 3.69) indicated disagreement of self-others perception of leaders EI. A higher level of congruence was noticed for middle-aged leaders with a mean gap of -0.04.



**Question 2: Does leader's emotional intelligence increase with the increase in the age of the leaders?**

Simple regression analysis was performed using leader's age as a predictor variable on two outcome variables namely self-ratings of leaders on ESCI and others-ratings of direct reports on ESCI. Table 3 shows the model properties and predictor properties for self-others ratings.

*Table 3 – Regression results – Age on self-others ratings*

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	DF	F	B (Unstandardised Coefficients)	Std. Error	t-value	p-value
Age on Self-Ratings	0.212	0.045	0.043	0.3335	1, 498	23.51	0.009	0.002	4.849	0
Age on Others- Ratings	0.084	0.007	0.005	0.64024	1, 498	3.522	-0.006	0.003	-1.877	0.061

\*\* .p value is significant at .001 level

The results obtained from the regression analysis indicates that leader's age is positively correlated ( $R=0.212$ ) with self-ratings of leaders on ESCI and the variance accounted for  $R^2$  with leaders age equaled .05 (adjusted  $R^2 = .04$ ), which was significantly different from zero ( $F(1, 498)=23.51$ ,  $p<.001$ ), therefore, about 5% of the variation in leader's self-ratings is explained by the age of the leaders. Positive coefficient ( $b=0.009$ ) indicates that as the age increases, emotional intelligence will also increase.

Similarly, leader's age (predictor) was loaded with others-ratings (dependant variable). The model properties indicate that leader's age is not statistically significant ( $F(1, 498)=3.522$ ,  $p=0.061$ ) and the coefficient is negative ( $b=-0.006$ ) which indicates that age and emotional intelligence are not related that when leader's age increases, emotional intelligence decreases.

**Question 3: Which of the four clusters of emotional and social intelligence competencies show the strongest association with age of the leaders?**

*Table 4 – Regression results of self-ratings – Age on EI Clusters*

Model of Self-Ratings	R	R Square	Adjusted R Square	Std. Error of the Estimate	DF	F	B	Std. Error	t-value	p-value
Age on Self awareness	0.188	0.035	0.033	0.56331	1, 498	18.231	0.013	0.003	4.27	0.00
Age on Self management	0.221	0.049	0.047	0.34396	1, 498	25.502	0.009	0.002	5.05	0.00
Age on Social awareness	0.197	0.039	0.037	0.37378	1, 498	20.182	0.009	0.002	4.492	0.00
Age on Relationship magement	0.174	0.03	0.028	0.34436	1, 498	15.588	0.007	0.002	3.948	0.00

\*\* .p value is significant at .001 level

Results obtained on simple regression analysis (see Table 4) shows that all the four clusters of EI are statistically significantly ( $p<.001$ ) and positive coefficients (B) indicate that increase in the age accounts for increase in the self-ratings. Also, leader's age accounts for 5% variance in self-management cluster ( $R^2 = .049$ ,  $F(1, 498)=25.502$ ,  $p<.001$ ) indicating slight increase in self-management competencies with age.

*Table 5 – Regression results of others-ratings – Age on EI Clusters*

Model of Others-Ratings	R	R Square	Adjusted R Square	Std. Error of the Estimate	DF	F	B	Std. Error	t-value	p-value
Age on Self awareness	0.008	0	-0.002	0.72412	1, 498	0.036	0	0	-0.19	0.85
Age on Self management	0.088	0.008	0.006	0.65543	1, 498	3.919	-0.007	0	-1.98	0.048
Age on Social awareness	0.127	0.016	0.014	0.65234	1, 498	8.196	-0.01	0	-2.863	0.004
Age on Relationship magement	0.102	0.01	0.008	0.66091	1, 498	5.242	-0.008	0	-2.29	0.022

\*\* .p value is significant at .05 level

On the other hand, regression analysis of the direct reports ratings of leaders EI on four clusters (see table 5) shows that, Self management ( $R^2=.008$ ,  $F(1, 498)=3.919$ ,  $p=0.048$ ), Social awareness ( $R^2=.016$ ,  $F(1, 498)=8.196$ ,  $p=0.004$ ) and Relationship management ( $R^2=.01$ ,  $F(1,$

498)=5.242,  $p=0.022$ ) clusters of EI to be statistically significant as their  $p<0.05$ . The coefficients for Self management ( $b=-0.007$ ), Social awareness ( $b=-0.01$ ) and Relationship management ( $b=-0.008$ ) indicate negative influence of age on EI. Older leaders were perceived to be low in their Self management, Social awareness and Relationship management competencies by their direct reports. Self awareness cluster was statistically not significant ( $R^2=.0$ ,  $F(1, 498)=0.036$ ,  $p=0.85$ ) which indicates that age is not related to leaders self awareness as perceived by their direct reports.

### **Discussion**

The developmental value of leader's age on leader's EI as perceived by leaders and their direct reports on ESCI was thoroughly investigated using the combinations of highly used statistical techniques. Analysis of the self-ratings of leaders EI revealed that older leaders (aged above 45 years) perceived themselves to be high in EI while the direct reports perceived the older leaders to be low in their EI.

Comparison of self-others ratings revealed that self-ratings are significantly higher than the ratings of others (Yammarino & Atwater, 1993; Nowack, 1997, Hay Group, McClelland Center for Research and Innovation, & Wolff, 2005). High self-ratings and low others-ratings indicated over-estimation (Fleenor et al., 2010) of EI by the leaders. However, congruence of self-others perception (i.e. smaller gaps in the self-others ratings) of leader's EI was observed for the middle-aged leaders followed by young leaders indicating accurate self assessment (Carulli & Com, 2003). Further, multiple comparison of self-others ratings between leader's age groups and ESCI clusters revealed that both leader and direct reports perceived the young and middle-aged leaders to possess same levels of self management, social awareness and relationship management competencies, while the older leaders were perceived to have lower levels of self-awareness competency. This shows that leaders between the ages of 35 to 45 years are highly self-aware (Mabe & West, 1982) than the older leaders of early 50's and 60's.

### **Implications**

Extant literature on self-other ratings reveal that, self-ratings are less accurate than informants' view (e.g., Harris & Schaubroeck, 1988; Hough, Keyes, & Dunnette, 1983; Hofstee, 1994; John & Robins, 1993) and often suffer from a leniency bias (Podsakoff & Organ, 1986). But when self-ratings are coupled with information from others' (e.g. supervisors or peers or subordinates) ratings, they provide insight into one's level of self-awareness (Yammarino & Atwater, 1993). Hence, it is advisable to categorize the self-others scores into over-estimators, under-estimators and in-agreement groups (Fleenor et al., 1996) when evaluating rater accuracy in multi-rater EI measures such as ESCI.

### **Conclusion**

This study finds that emotional intelligence of leaders (as perceived by self and direct reports) consistently increases with age (from 24 to 45 years) but after reaching an old-age-peak of 45 years (Singh, 2006) it declines drastically in the fifth and sixth decade of life. The large gaps in self-others perceptions of EI among older leaders who are in their early 50's and 60's indicate lack of self awareness. It may be that as we become older we focus more on our own wants and needs and less on others (Baker & Bichsel, 2006). We may also become more selective in who we spend time with and get emotionally close to (Maddocks, 2011). Overall, the increase in EI up until 45 years of age suggests emotional intelligence is a developing ability and that EI plateaus or reduces after middle-age (Kafetsios, 2004). It's never too late to develop our EQ; even people in their 80's can change – they can become more self-aware, optimistic and even empathetic (Stein, 2009). The developmental feedback of ESCI along with suitable training interventions may help the older leaders to improve their level of self-awareness and to increase their EI.

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# AN INTEGRATIVE INTERDISCIPLINARY APPROACH FOR HUMAN SCIENCES BASED ON ENVY, ADMIRATION, FEAR AND FATHERHOOD

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## Abstract:

A proper interdisciplinary approach to the human sciences requires the application of concepts common to all disciplines with the highest relevance in each. We suggest that the concepts of envy, admiration, and fear, together with the concept of fatherhood offer a conceptual framework able to describe human behavior in a wide range of contexts. Indeed, to be a human being is to feel inferior, a condition that gives birth to three major passions: envy, admiration, and fear. On the other hand, to be superior is always to hold the place of a father figure. Then we show that these concepts, which are self-evident in morality, philosophy, theology, and psychology, can be applied broadly as well in anthropology, sociology, economics, and politics. Finally, we conduct a brief case study on gang violence to show the relevance of this conceptual framework.

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**Key Words:** Envy, admiration, fear, fatherhood, violence

## Introduction:

An interdisciplinary approach to the human sciences that would enable us to integrate knowledge across disciplines would require the identification of concepts that could be applied in all disciplines, while showing in each of these the highest relevance. We suggest that the concepts of envy, admiration, and fear, applied together with the concept of fatherhood, offer us a conceptual framework able to describe human behavior across the widest range of situations. These concepts belong naturally to morality, philosophy, theology, and psychology, but are more rarely applied in anthropology, sociology, economics, and politics. In the first section, we show that our conceptual framework lies on one essential characteristic of the human condition: inferiority. In the second section, we show that to be in the position of superiority is necessarily to be in the position of a father figure charged with the regulation of inferiors' admiration, envy, and fear. In the third section, we demonstrate that the feeling of inferiority expressed by admiration, envy, and fear, and the superiority expressed by fatherhood, are in fact relevant across the core social sciences. In the last section, we apply our conceptual framework to violence, one of the major questions for human societies and one which invariably requires an interdisciplinary approach.

## 1. To be human is to feel inferior

The original and ontological position of the human being is one of inferiority. Human beings begin their lives in a stage of inferiority, or "weakness"<sup>502</sup>, as the age of childhood was first characterized by Rousseau (1774). During this age, children learn to deal with three main positions relative to others: superiority, equality, and inferiority. Vis-à-vis these three possible positions, the child must develop a "social feeling" that separates him from the animals. In each case, the relationship of the child with the other takes a specific form, as Proudhon (1840) noted: "*in the strong, it is the pleasure of generosity; between equals, it is frank and cordial friendship, in the weak, it is the happiness of admiration and gratefulness*"<sup>503</sup>. However as a matter of fact, the child's original and predominant position, and consequently humanity's original position, is one of inferiority. The social and psychological development of a human being starts with an awareness of inferiority that

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<sup>502</sup> J.-J. Rousseau, 1774, *Emile ou de l'éducation*, Livre III, GF-Flammarion, Paris, 1966, p.211.

<sup>503</sup> P.-J. Proudhon, 1840, *Qu'est ce que la propriété?*, chap. V, 1<sup>st</sup> part, §3, Le Monde Flammarion, Paris, 2009, p.250.

needs to be accepted and overcome, especially by learning to express admiration and gratefulness. Throughout life, ontological limits (biological, psychological, and spiritual), will always remind men of their original position and the associated feeling of inferiority. Alfred Adler (1933) argues that the human condition faces the ordeal of inferiority: *“To be human means to feel inferior”*<sup>504</sup>. According to Adler, neuroses are caused by the comparison with others, which generates the “inferiority complex”. The encounter with the neighbor is the encounter with the essential difference, which through comparison is inevitably converted into inferiorities, equalities, and superiorities. Each new encounter is a fresh opportunity to confront once again the inferiority or weakness, which has remained since childhood.

The feeling of inferiority generates three things: admiration, fear and envy. Feelings of inferiority, weakness, smallness, or imperfection can emerge every time the subject encounters any kind of superiority, strength, greatness, or perfection, regardless of whether the comparison be objective or subjective. Faced with a position or a feeling of inferiority, the subject has three possible reactions: admiration, fear, or envy. Admiration is the love of greatness, *“a happy recognition of a ‘superior’ otherness”*<sup>505</sup>. To fear is to feel threatened by something or someone that is perceived as stronger than us. Thus fear is also the implicit admission of inferiority. Envy consists as well in the perception of others as threats: it is the suffering caused by not possessing the superiority of another. And consequently, as Pliny the Younger said: *“To envy it is to admit being inferior”*<sup>506</sup>. The envious feels persecuted, victims of others. In that sense, envy can be seen as a sort of fear. As a matter of necessity, envy contains fear. Those in privileged positions often feel threatened by the envy of the less privileged. Envy and fear lead to hostility, hate, betrayal and aggression. Envy and fear destroy the capacity to admire, although an unhealthy admiration is implicit in envy. *“Jealousy is a secret admiration. A person who admires and feels that he cannot be happy by giving in to his feeling chooses to be jealous of the object of his admiration. Admiration is the happy abandonment of the self, jealousy his unhappy claim”*<sup>507</sup> says Kierkegaard (1849). Fear converts admiration into envy when suddenly the feeling of a threat emerges in admiration. However, admiration can dispel fear and envy because it leads to sympathy, benevolence, devotion, friendship, and love. Each of these three passions triggers two main dynamics of interaction with others respectively: for envy, rivalry and destruction; for fear, destruction and submission; and for admiration, emulation and devotion. Envy focuses on the negative, whereas admiration focuses on the positive. Admiration triggers a non-confrontational mimesis of emulation, whereas envy triggers a conflicting mimesis of appropriation. Likewise, fear triggers a conflicting mimesis of aggression. Thus, we can relate envy and admiration respectively to Veblen’s “predatory” and “workmanship” instincts. Carl Schmitt’s distinction between “friend” and “enemy” can be interpreted as originating respectively in admiration and fear/envy. The three passions emerge from the same position of inferiority. What makes one prevail over another is the psychological reaction of the subject: whether he will accept it (admiration), deny it (envy), or flee from it (fear). If the subject accepts his abasement, he will experience a feeling of humility. On the other hand, if he resists his abasement, he will experience a feeling of humiliation. In the first case, the feeling of inferiority is chosen, in the second case, it is undergone. Humility paves the way to admiration whereas humiliation paves the way to envy. The act of fleeing in case of fear usually gives rise to an even stronger feeling of humiliation than envy. Adler observed that the feeling of inferiority gives birth to a feeling of insecurity and a need for protection. The three passions reveal that human beings need to be protected and recognized by some superiority. In other words, admiration, fear, and envy call for a father. Actually, the father is generally the first experience of superiority in childhood. In other terms, his presence teaches one how to be inferior.

## 2. To be superior is to be like a father

The father also teaches us the way to be superior. For Comte (1851-54), fatherhood is what teaches us to love our inferiors: *“As sons, we learn to venerate our superiors, and as brothers to*

<sup>504</sup> A. Adler, 1933, *Le sens de la vie*, (Trad. H. Schaffer), Éditions Payot, Paris, 1968, Chapter 6, [p.62](#).

<sup>505</sup> M. Crépu, 1988, *La force de l’admiration*, Éditions Autrement, Paris, p.47.

<sup>506</sup> [Pliny the Younger, Letters, VI, XVII.](#)

<sup>507</sup> S. Kierkegaard, 1849, *La maladie à la mort*, 2nd section, Appendix to chapter 1, p129.

*cherish our equals. But it is fatherhood that teaches us directly to love our inferiors.*<sup>508</sup>” He associates goodness narrowly with protection: “*Actual goodness implies always a sort of protection, which, without being incompatible with filial and fraternal relations, does not constitute an essential element of them. It belongs to marriage only for man (...). Paternal affection will maintain its natural aptitude to develop, better than any other affection, the vastest social feeling, the one that pushes us directly to satisfy the needs of our fellows. The protection in it shows spontaneously a charm and an intensity which could not exist elsewhere, because it appears devoid of all equivocal reciprocity.*”<sup>509</sup> Proudhon defines the social feeling of the strong vis-à-vis the weak as the pleasure of generosity. There is no one who takes more pleasure in generosity towards the weak than the father with his children. Like the “père Goriot” of Balzac, he gives them everything, because he loves them; like Harry Lowman in “Death of a Salesman” he is prepared to die for them. A father is a protective, educative, benevolent, and loving authority who aims to help his son to grow and blossom. The father inspires admiration and assuages fear and envy. Admiration of the father is most notably a product of his force or his courage, which permits him to triumph over fear. By his example, he teaches courage. He represents the ideal superiority because through him admiration prevails over fear: as a superior, he gives justifications and makes decisions that prevent envy vis-à-vis peers, and he gives a model to imitate for relationships with inferiors. Ruskins (1862) suggests that the golden rule of leadership is what we can call “the rule of fatherhood”: “*The way he (the boss) would treat his son, so this should always be the way he treats each of his men. Here is the truthful, practical, or effective RULE we can give on this point to the political economy.*”<sup>510</sup> In daily life, when we want to communicate that a professor, boss, or other authority figure has made a positive impact on our lives, we usually say: “this person has been like a father for me”. And everybody understands what this means.

### **3. The relevance of “feelings of inferiority” and the “father-like superiority” in social sciences**

Now we shall examine whether this conceptual framework can adequately be applied to the core social sciences: social psychology, anthropology, sociology, economics, and politics.

#### **3.1. The rise of the psychology of social emotions**

Childhood is the age of admiration because everything is new and surprising. It is the age of fear because everything is a potential threat. It is the age of envy and jealousy because the gap between desires and power is at its maximum. Finally, it is the age of the encounter with the father, through which the child channels these three emotions as notably Freud, Klein, and Adler have shown. Fear is a primary emotion whereas envy and admiration are commonly seen as secondary, social, complex, moral, or intellectual emotions. The seminal work of the psychologist Frijda (1986) provides an analytical framework to describe emotions<sup>511</sup>. A great deal of research has been done to establish a comprehensive taxonomy of emotions. Building notably on Frijda’s works, Elster (1999) has conducted extensive research on the introduction of social emotions into social sciences after having demonstrated the limits of the hypothesis of rationality. His works imply a certain ranking among social emotions: he devotes extensive effort to the analysis of envy on human behavior and its social impact whereas relatively little to fear and almost none to admiration.

#### **3.2. Anthropology shows the universality of social emotions**

Admiration, fear, and envy are universal emotions that can be observed in all societies. One shares fear with the animals, whereas admiration and envy are specific to humanity. Admiration, together with fear, is the origin of magical and animist thought, as well as the religious feeling (Vico (1725), Proudhon (1840), Otto (1917)). Admiration is also at the origin of the philosophy (Plato, Aristotle, Hobbes or Schopenhauer). Freud (1927) conceives of religion as a reaction to the childhood experience of powerlessness and dependency vis-à-vis the father. Therefore, the fact that there is no

<sup>508</sup> A. Comte, 1851-54, *Système de politique positive*, Tome II, p.189.

<sup>509</sup> Ibid.

<sup>510</sup> J. Ruskin, 1862, *Unto this Last* (translated in french: *Il n’y a de richesse que la vie*), éditions Pas de côté, Vierzon, 2012, p.42.

<sup>511</sup> N. H. Frijda, 1986, *The Emotions*, Cambridge, Cambridge University Press. Frijda describes each emotion in terms of valence, intensity, intentional object, action tendency, physiological reaction, and cognitive antecedent.

culture without religion means that there is no culture without admiration, fear, and fatherhood. The apparent disenchantment of the world observed by Vico, Weber, Comte, or Proudhon can be interpreted as a loss of the capacity to admire. In his seminal work on envy, Schoeck (1966) argued that: “*At every period of History, at every level of civilization, in most languages, and no matter the forms of the society, men have been aware of one fundamental problem of their existence and have underlined its particular character: the feeling of envy and the fact of being envied.*”<sup>512</sup> He provides numerous examples of envious behaviors in primitive societies (e.g. Navajo, Hopi, Azande). He also notes that envy is universally blamed and condemned. Likewise, Foster (1972) argued that envy is “*a pan-human phenomenon, abundantly present in every society, and present to a greater or lesser extent in every human being.*”<sup>513</sup> The question of the universality of fatherhood is more complex, notably because it requires the discovery of biological fatherhood that was probably not known in primitive human societies. For this reason the primary human societies were likely to be matriarchal, characterized notably by the absence of the role of the biological father in the education of children. In contemporary matriarchal societies, notably in Africa, the “avunculus” or maternal uncle usually replaces the father in the role of a loose father figure.

### 3.3. The discovery of the “relative deprivation” in sociology

Tocqueville grasped and outlined the overarching importance of envy in democratic societies, hidden, in his words, behind the “passion for equality”. Admiration is a fundamental dimension of the social feeling (Proudhon) and is essential for the stability of the social hierarchy (Smith<sup>514</sup>) as well as for the maintenance of trust, cooperation, and solidarity in the society. Conversely, envy and fear dissolve the social order, by generating distrust, conflict (Simmel), violence (Girard), and revolution (Tocqueville). Sociology deals with envy through the notions of “relative deprivation” and “comparative reference group” (Stouffer, Merton, Runciman). In a study on American soldiers, Stouffer (1949) observed that soldiers who belonged to the Military Police, where opportunities for promotion were very poor, were in fact more satisfied with opportunities for promotion than those who belonged to the Air Corps, where opportunities for promotion were conspicuously good. It seems counterintuitive that the better the chances of promotion, the less happy the soldiers. Yet in fact, when promotions are relatively numerous, each expects to be promoted; and consequently those who are not are disappointed and frustrated in comparison with their fellows. As a group, the entire Air Corp is less satisfied as a result. Stouffer and his associates have coined the notion of “relative deprivation” to describe this. Runciman (1966) has offered a more rigorous formulation of the notion of “relative deprivation” by linking it to the notion of “reference group” in his study on the attitudes to social inequality. But the concept of “relative deprivation” as Runciman defines it, is a clinical and sanitized concept - it describes what can be observed and is therefore a tautology. To say that a subject lacking in an element possessed by his fellow is “relatively deprived” is a simple statement of fact, it offers no analysis or causative detail<sup>515</sup>. For Runciman, “*the idea of “relative deprivation” (...) provides the key to the complex and fluctuating relation between inequality and grievance.*”<sup>516</sup> He defends this notion because “*(...) relative deprivation retains the merit of being value-neutral as between a feeling of envy and a perception of injustice. To establish what resentment of inequality can be vindicated by an appeal to social justice will require that this distinction should somehow be made.*”<sup>517</sup> So, “relative deprivation” is value-neutral but to become really useful, additional

<sup>512</sup> H. Schoeck, 1966, *L’envie Histoire du mal*, (Trad. Georges Pauline), Les Belles Lettres, Paris, 2006, p.7.

<sup>513</sup> G. Foster, 1972, *The Anatomy of Envy, A Study in Symbolic Behavior*, Current Anthropology, vol. 13, N°2, p.165. He observed personally envious behaviors in villages in Mexico but he found examples of envious behaviors in Mediterranean cultures, in the Arab world, in Asia and in Latin America.

<sup>514</sup> “*This disposition to admire, and almost to venerate, the rich and the powerful (...) (is) necessary to both establish and maintain the distinction of ranks and the order of the society (...).*” In A. Smith, 1759, *Théorie des sentiments moraux*, Part I, Section III, chap. III, puf, Paris, 1999, p.103.

<sup>515</sup> Runciman defines it as follows: “*we can roughly say that A is relatively deprived of X when (i) he does not have X, (ii) he sees some other person or persons, which may include himself at some previous or expected time, as having X (whether or not this is or will be in fact the case), (iii) he wants X, and (iv) he sees it as feasible that he should have X. Possession of X may, of course, mean avoidance of or exemption from Y.*” (p.10).

<sup>516</sup> Runciman, W. G., *Relative Deprivation and Social Justice*, Gregg Revivals, 1966, p.6.

<sup>517</sup> *Ibid.*, p.10.

investigations must be made to know whether the relative deprivation falls into the category of envy or injustice (which in terms of passion translates into indignation). As a purely descriptive notion, relative deprivation is also static: it does not say anything about the motivations and consequences of individuals' behaviors, whereas envy or indignation as emotions provide "tendency to actions". Looting and vandalism are typically manifestations of social envy. The more costly the destruction for those who perpetrate it, the stronger their envy. Moreover, analysis on envy always needs to be conducted in connection with its relationship to admiration. Smith and Veblen, for instance, have shown that the human need to be admired is essential to preserving good self-esteem. Finally, the notion of relative deprivation is dedicated here to the question of social justice and consequently to possessions. Envy is wider and includes the feeling of deprivation from ontological qualities (beauty, strength etc.).

### ***3.4. The Homo Economicus is an envious and fearful orphan adult interacting with the "inoffensive anonymous"***

Economics supposes that individuals are purely rational: their behavior is determined by their personal interest which consists in maximizing their well-being. In order to do so, they make their choice based on an analysis of costs and benefits. Thanks to game theory, economists are able to examine the decision making process in strategic interactions with others. Let us note that by the classical definition, rational individuals are not supposed to take emotional motivations into account when they make decisions. To discover where this hypothesis can have relevant applications in real life we must locate those circumstances where individuals have no fear, no envy, no admiration, and no fatherhood. This corresponds to situations in which, firstly, individuals do not know those with whom they interact: the others are anonymous. Secondly, individuals are not afraid to be hurt by these anonymous persons because either they feel protected, or they believe that these anonymous persons are "inoffensive". We usually meet "inoffensive anonymous" persons, as economic agents on large and competitive markets (financial markets are probably the best example), or as citizens of a large city where people are civilized and respect the rule of law. In both cases, individuals often remain anonymous in most interactions with the civil society at large. On the other hand, in oligopolistic markets where the number of actors is limited and all are known to each other, the free rider strategy will generate social pressure and retaliations. Indeed, Olson (1965) has shown that the size of the group determines to a large extent the emergence of free riders: the group needs to be big enough to ensure anonymity<sup>518</sup>. Economists describe a peaceful and emotionless world, which corresponds to a "controlled environment". The application of game theory in economics corresponds principally to interactions with the inoffensive anonymous. The "prisoner's dilemma" presents a situation where two accomplices are arrested and interviewed separately (i.e protected from one another but also exposed to betrayal). They should have interest to cooperate with each other (i.e not confess their crime) but find, according to game theory, strong incentives to confess and betray each other because whatever their accomplice chooses as his strategy (to confess or not), the strategy of confession yields a better personal situation<sup>519</sup>. Both of them betray. The situations where a prisoner's dilemma can occur are also often situations of "not seen not caught" (such as free riders, athletes' doping, false illness in the workplace, etc.) and/or where the protagonists cannot communicate with each other. In short, from the hypothesis of people as purely rational actors, who represent the "inoffensive anonymous" for each other, who are not able to communicate with each other and consequently to establish a relationship, and/or who stand in situations of "not seen not caught", the standard economic theory predicts the absence of cooperation, trust, and loyalty between them. Actually, the conclusion is already in the point of departure. Assuming people are selfish, the model tells us that they behave selfishly. It is tautological and lies on a petition of principle: we assume what should be demonstrated. Moreover, it is not certain that the hypothesis of rationality does not include passions. In fact, the idea of maximization of self satisfaction betrays (1) the exclusive concern of the self, (2) the violent desire to enjoy and to possess, (3) the fear to lose, to be a loser and to feel inferior because

<sup>518</sup> M. Olson, 1965, *Logique de l'action collective*, Editions de l'Université de Bruxelles, (trad. Mario Levi), 2011.

<sup>519</sup> By confessing, if my accomplice stays silent I maximize my gain, if he betrays me I minimize my penalty. My accomplice has the same reasoning.

of losing, together with the unpleasant feeling that someone else is gaining more, (4) a total absence of filial feelings in the case of inferiority and paternal feelings in the case of superiority. In a nutshell, the hypothesis of rationality implies invariably selfishness, greed, fearfulness, envy, and domination. Hirschman (1977) has shown that the notion of “interest” was elaborated only in the 16<sup>th</sup> and 17<sup>th</sup> centuries as the insertion of a third term between reason and passion, which was supposed to borrow the best of these two types by giving birth to a sort of reasonable self-love. But it corresponds in reality to “*the accession of cupidity to the rank of privileged passion in charge of subduing dangerous passions and of bringing a substantial contribution to the art of government.*”<sup>520</sup> Therefore, it is difficult to believe in the methodological amorality of economics<sup>521</sup>. Is it a coincidence that students of economics are less cooperative than their peers who do not study economics? (Frank et al, 1993) In real life, those who most typically embody the Homo Economicus are immature and poorly socialized adults. Fortunately, experiments undertaken by economists show that in real situations, people cooperate, are trustworthy and loyal, thus contradicting the predictions of the standard economic model. These experiments show that the hypothesis of rationality is limited to interactions with inoffensive anonymous agents. For instance, some experiments demonstrate that when players have the opportunity to communicate before the game, the level of cooperation increases tremendously (Sally, 1995), especially when it takes place “face to face” (Frohlich and Oppenheimer, 1998). Indeed, in this case, they no longer play with an anonymous agent but with a specific person they have met that has consequently and inevitably affected them emotionally. This person has become familiar, which completely changes the subject’s behavior. Sally (1995, 2000) also observes that the degree of familiarity between partners influences the cooperation rate (physical and social contact, shared preferences and opinions, etc.). Gächter and Fehr (1999) have shown that when a little familiarity between people has been established (“team spirit effect”), and that at the end of the game their respective contribution to the public good will become public (“social pressure effect”), the level of cooperation increases substantially. In consequence, the theory of rational choice cannot be extended to all realms of human behaviors such as criminality, marriage or family as Gary Becker (1976, 1991) attempted to do. It can only be applied to relationships between inoffensive anonymous agents which cannot communicate with each other and/or who are in a situation of “not seen not caught”. Once we know the persons, emotions are necessarily involved (especially admiration, envy, fear, and fatherhood).

Proper interpretation of admiration and envy can also help us to better understand the value of objects and the determination of their price. In the *Theory of Moral Sentiments* (1759), Smith noted that people’s consumption beyond “the necessity of nature” (food, housing, clothing) is driven by the need to be admired (and thus approved of) and consequently by the envy of greatness and distinction. Veblen (1899) has followed this intuition, showing that not all human action has a goal determined by the calculation of pains and pleasures. He developed the notions of “*conspicuous consumption*” and “*invidious comparison*” to explain the need to gain distinction and others’ esteem or consideration through inciting others’ envy. Classical economists could not solve the “paradox of the water and the diamond” formulated by Adam Smith: there is nothing more useful than water and yet it has almost no exchange value, whereas diamonds are totally useless but have a high exchange value. Neoclassic economists found a solution by developing the notion of “marginal utility”: the utility of the last unit of a good available for our consumption. Diamonds are scarce whereas water is abundant. That is why water has no exchange value and a diamond a high one. However, many objects are scarce and yet have no exchange value, such as a lame and one-eyed donkey. The object needs also to be commonly admired. Ruskin has this intuition: “*The price of gold depends less of its scarcity – which is in common with cerium or iridium – than from its solar color and its inalterable purity, by which it arouses admiration and gains mankind’s confidence.*”<sup>522</sup> Thus, an additional element needs to be

<sup>520</sup> A. O. Hirschman, 1977, *The Passions and the Interests*, Princeton University Press, Princeton. Les passions et les intérêts, Quadrige puf, Paris, 1980, (Trad. Pierre Andler), p.41.

<sup>521</sup> Frank et al (1993) have observed a cooperation rate of 61,2% by non-economics students against 39,6% for economics students. Moreover, the cooperation rate decreases along the cursus of the students in economics whereas it increases for non-economists, tending to show that the more we study economics the more selfishly we behave, unless economics attracts people who are already selfish.

<sup>522</sup> J. Ruskin, op.cit., p.99.

added to the explanation of marginal utility in order for the paradox to be resolved adequately: that element is admiration. People admire the beauty of diamonds, and can posture superiority vis-à-vis others through their possession, whereas water, though beautiful, is incapable of inspiring admiration in terms of possession, owing to its abundance. Admiration for diamonds determines the intensity of the desire to acquire the object, or what Ruskin calls “*the force of consumer’s intention to buy*”<sup>523</sup>. The notion of use value is too narrowly linked to physiological and security needs (food, clothes, house, etc.). But once we move up Maslow’s hierarchy in order to satisfy our needs in terms of belonging, esteem, and self actualization, we increasingly purchase objects that are useless but covetable and admired by others. We buy objects because we admire them in others. In developed economies, the share of goods that are useless but highly admirable is increasing and represents the largest portion of the consumer’s basket of goods. In the 19th century, Ruskin already noticed that: “*Three-fourths of the world demand is romantic, founded on visions, idealisms, hopes, and affections; and the regulation of the purse is, in essence, the regulation of the imagination and the heart. The true discussion on the nature of price is therefore a metaphysical and material problem of first importance.*”<sup>524</sup> A good gains in value at a rate comparable with an increasing number of admirers. The number of admirers determines, for instance, the value of a painting, a song, a movie, or a show.

### **3.5. People are governed through admiration, envy, fear, and fatherhood**

The central question of power in politics can be reshuffled by starting from the psychological impression made on individuals by those who govern. As Ferrero (1945) says: “*The right to command can only be justified by the superiority.*”<sup>525</sup> At the psychological level, this means that the government has managed to ensure its position by leading with a mixture of admiration, envy, fear, and fatherhood.

#### **Government by admiration**

Sacred and supernaturally justified governments lead people mainly by admiration and awe, whether the chief is a god, a son of a god, in communication with spirits, ancestors or gods, or lieutenant of God on earth. The power “comes from above”. Heroic or aristocratic governments justify admiration as well, when they are what Vico (1725) calls the “*government of the most powerful*”<sup>526</sup>. The prestige is acquired by heroic actions. In the Middle Ages and during the Renaissance, the genre of *Mirrors for Princes* (e.g. *John Salisbury*, *Gilles de Rome*), as well as the literature on knighthood, aimed to erect the prince as a model of virtue and an example for his people. This barrier of manners between the prince and his people is supposed to inspire admiration and affection. Following the tradition of the *Mirrors for Princes*, albeit in a revolutionary perspective, Machiavelli still devotes one chapter of “The Prince” to the ways in which “a prince must behave to acquire esteem” and another one to the ways he can “avoid contempt and hatred”. He recognizes that “*the best fortress in the world (for a prince) is the affection of the people*”<sup>527</sup>. And this requires that he is admired by them. Whether the prestige is supernatural or acquired by heroic actions or virtues, the government needs to regularly display its power and its wealth to the governed so as to maintain order. The leader feels the necessity to shine or to disappear. That is why he provides food, gifts (e.g. potlatch), and games. In modern times, admiration and awe are still major instruments of government. The divinity of the leader has been replaced by his exemplary character, behavior, and merits (e.g. Gandhi, De Gaulle, Lech Walesa, Nelson Mandela). Totalitarian regimes have also tried to use admiration as a mode of government through the cult of personality of their leaders (e.g. Lenin, Stalin, Hitler, Mao, etc.). Admiration proceeds from a spiritual distance or superiority between the government and the governed, created by the supernatural, heroism, virtues, or donations, which act to dispel people’s envy. Admiration stimulates the “good will”, i.e. the tendency to cooperate, to devote, and to sacrifice. These sorts of regimes maximize spontaneous obedience, loyalty, and devotion (up to

<sup>523</sup> Ibid., p.100.

<sup>524</sup> Ibid., p.113.

<sup>525</sup> G. Ferrero, 1945. *Le pouvoir*, Livre de poche, 1988, p.25.

<sup>526</sup> G. Vico, 1725. *La science nouvelle*, p.442.

<sup>527</sup> Machiavel, *Le Prince*, Chapter XX, p.115.

self-sacrifice) to the chief. Admiration leads to trust whereas envy and fear lead to distrust. The government by admiration creates the conditions for the emergence of an elite or an aristocracy. However, it must be noted that true admiration is an objective that cannot be directly sought because it normally emerges as a secondary effect of another action. Therefore, wanting to be admired is often the best way of failing to be so. True admiration comes to those who do not seek it.

### Government by fear

Canetti (1960) asserts that the “primitive order” derives from the flight instinct dictated by the presence of a stronger animal. The primitive order is a death penalty, which forces the victim to flee<sup>528</sup>. Hobbes argues that human beings are naturally fearful, especially of being killed. Men “*fear each other rather than love each other*”<sup>529</sup>. For Hobbes, reciprocal fear has been at the very beginning of the civil society and the emergence of power: “ (...) *the spirits of men are of such a nature, that if they are not detained by the fear of some sort of common power, they will fear each other, they will live with each other in an abiding distrust (...)*”<sup>530</sup> History shows indeed that times of anomie, anarchy, and revolution produce a tyrant who would restore a safe and peaceful social order. Machiavelli suggested that, in the case of a new power, it is easier to govern by fear than by love: “*it is much more certain to be feared than to be loved (...)* And men hesitate less to offend someone who wants to be loved than another who wants to be feared; because the link of love is spun of recognition: a fiber that men do not hesitate to break, because they are nasty, as soon as their personal interest is at stake; but the link of fear is spun by the fear of punishment that never leaves them.”<sup>531</sup> Indeed, fear is a powerful instrument of government because it weakens and constrains the will of individuals. It creates a master-slave relationship because a frightened person is no longer free; he is forced to submit to ensure his security and protection or to flee if he can. The tyrant or the despot becomes both persecutor and protector. Tyrants, totalitarian states, mafias, and gangs govern essentially by fear. This implies the use of threats, intimidation, force, and violence. As Ferrero (1945) said, “*force is fear in action*”<sup>532</sup>. History shows however that governments which rely extensively on fear are unstable and not viable in the long run. They need to obtain the free consent of the governed; without it, the threat of revolution is always on the horizon. Justifiably therefore, those who govern by fear are inevitably fearful. They fear that the tables will be turned, and they will be forced to undergo the fate they have forced upon others. The despot, says Ferrero (1945), “*is afraid of everything: by the most reserved and the most cautious critic, by the most innocent manifestation of discontentment that broods everywhere*”<sup>533</sup>. But for Ferrero (1945), regardless of whether or not the power uses fear, it is in its nature to feel fragile: “*The Power is never safe, it constantly trembles.*”<sup>534</sup> Accordingly, “(t)he unique authority who has no fear is the one who is born of love: the paternal authority, for instance.”<sup>535</sup>

### Government by envy

Politics is about regulating the envy of all against all. Schoeck (1966) suggests that the societies and civilizations that have reached the highest levels of development might in fact have been those that managed envy better than others. Indeed, envy threatens to ostracize or kill those who are bright and innovative. In Antiquity, for instance, Athens and a few other cities practiced ostracism, which consisted of a vote by the assembly of citizens to single out one citizen for banishment. According to Plutarch, ostracism was a manifestation of envy: “*Ostracism was not a punishment inflicted on guilty persons, it was called, to veil it with a specious name, a weakening, a reduction of an authority too proud of itself, of a power of which the weight was too heavy. It was, in reality, a*

<sup>528</sup> E. Canetti, 1960, *Masse et puissance*, Tel Gallimard, 1966, pp.321-322.

<sup>529</sup> T. Hobbes, *Le citoyen*, (Trad. Samuel Sorbière), GF-Flammarion, Paris, 1982, p.91.

<sup>530</sup> *Ibid.*, pp.71-72.

<sup>531</sup> Machiavel, *Le prince*, Chapter 17, *Le Livre de poche*, 1983, pp.87-88.

<sup>532</sup> G. Ferrero, *op. cit.*, p.310.

<sup>533</sup> *Ibid.*, p.48.

<sup>534</sup> *Ibid.*, p.37.

<sup>535</sup> *Ibid.*, p.37.

*moderate satisfaction that one granted to envy (...)*<sup>536</sup>. Numerous societies throughout history have imposed special taxes on luxury goods to limit their consumption, and envy accordingly. Progressive taxation on income and redistribution policies aim to satisfy envy as well. Conversely, “divide and conquer” tactics (“Divide ut regnes”) usually excite envy among peers. This creates a power vacuum which the conqueror is able to use to his advantage. It consists of dividing people into categories to encourage their opposition to each other by claiming that some of them benefit from privileges that the others should have as well (rich/poor, white/black, men/women, etc.). To acquire power, political leaders promise to either provide all people with the same privileges or rather to abolish them outright. For Elster (1999), “(p)olitical systems that are both egalitarian and totalitarian seem to spawn envy. In China, during the Cultural Revolution, farmers with fruit trees were ordered to cut them down.”<sup>537</sup> The principle followed here is that “nobody shall have what not all can have”. Democratic societies are also particularly exposed to this tendency toward egalitarianism, which in a way is the modern terminology for envy. Tocqueville has shown that equal social conditions intensify envy among citizens. “Scapegoating” is another ancestral mechanism employed to manipulate envy and to restore unanimity in the society. It consists of accusing a person, a group or a minority of responsibility for all of the evils in the society. Scapegoating functions by managing to unite the rest of the society against this victim (e.g. Oedipus accused of being guilty of the plague in Thebes and banished). Scapegoats are at the core of ideologies such as Marxism or Nazism. Envy deviates the will towards objectives detrimental to social harmony. It stimulates the “bad will” i.e. the tendency to be non-cooperative, aggressive, and to sacrifice the others. These sorts of regimes maximize spontaneous disobedience, disloyalty, and rebellion.

### Government by fatherhood

Throughout the Ancient Regime, power was epitomized by the king, and the king was the embodiment of the father figure (Aristotle, St Thomas of Aquinas, Filmer, Bossuet). The essence of the monarchy was founded on fatherhood. Government by fatherhood is a synthesis of the three other forms. Against fear, the government by fatherhood offers protection. Protection is traditionally the principal kingly function. But in contrast with the government by fear, the proper government by fatherhood does not generate fear, as in a tyranny. Against envy, it offers justice and unity in the style of King Solomon or King Saint Louis. In contrast with the government by envy, it does not excite envy, it does not divide the people in order to dominate them, it does not promote egalitarianism, and it does not designate a scapegoat. In addition, against fear and envy, it offers clemency, benevolence, and sacrificial love. As in the government by admiration, it proceeds from a spiritual distance or superiority that prevents it from becoming the object of envy. But it refuses to be idolatized. The government by fatherhood inspires the same “good will” as the government by admiration, but it does this to an even higher degree.

### 4. A Case study on violence: The Maras

The gangs of Central America known as the “Maras”<sup>538</sup> are considered to be the most organized and the most violent in the world. These gangs are made up of children and young people between the ages of 9 and 25 from the poorest districts. Most of them are fatherless. Harper and McLanahan (2004) show that fatherless children are more likely to become criminals. Fatherless children enter these gangs essentially in search of the love and protection that their families are unable to provide for them. William Alexander, MS13 member, explains his decision to become a “marero” as follows: “I joined the MS13 when I was 13 years old. My father died in the war. My mother was alone with my three little brothers. This gang controlled the district. I found another “family” there.”<sup>539</sup> Alex Sanchez, former MS13 member, gives a similar explanation about what young people expect to find when they enter the gangs: “It becomes like another family that provides love for them.

<sup>536</sup> Plutarch, Parallel Lives, Tome II, Aristides.

<sup>537</sup> J. Elster, 1999, Alchemies of the Mind: Rationality and the Emotions, Cambridge University Press, p.176

<sup>538</sup> “Mara” is the diminutive of “marabunta” which is a destructive species of ant. There are two main Maras: “Mara 18” and “Mara Salvatrucha 13 (MS 13)”.

<sup>539</sup> “Les Maras, du Canada au Panama - United violence of Americas”, Le devoir, 24 January 2006.

*They find girlfriends, there is money, and there are drugs. The issue is that they really feel part of something, part of a group, and above all they find a sense of recognition and respect as part of the gang.*<sup>540</sup> Alex Sanchez gives three major reasons for this: the search for a refuge, which dispels their feeling of insecurity generated to a large extent by the absence of a father, envy of gang members' possessions (money, girls, drugs, prestige), and a need for admiration. Brenda Paz, MS13 member, describes the value system of the mareros as follows: *"First of all, there is God, your mother, and then your gang. We live for God and for our mother, we die for our gang.*<sup>541</sup> There is no reference to the father: he is not in the picture because he is not in their lives. In the documentary *La Vida Loca* (2009), the director Christian Poveda shows a mother and her son before a judge in El Salvador. The mother confesses that her son overwhelms her. Her husband has left her and he does not take care of his children. She raises them alone. Her 17-year-old son does not listen to her and prefers to listen to his gang. She starts to cry. In the absence of an authority at home, children and teenagers strive to find one in the gangs. This situation can be observed in most places where gangs have emerged. In Haiti, for instance, the Child Soldiers Global Report 2008 indicates that: *"At Cité Soleil (a poor district), some chiefs of gangs have adopted a sort of parental status with children – who were lacking affection and of models of authority- and were often called "uncle" or "father".*<sup>542</sup> The UK riots in August 2011 were called the "shopping riots"<sup>543</sup> (i.e. "envious riots") by The Guardian. James Cameron explained that most of the children who participated in the riots were fatherless.<sup>544</sup>

### Conclusion:

Aristotle, Descartes, the French Moralists, Hume, and Smith, among others, all believed that the analysis of passions was necessary to understanding human nature. The 20th century has largely neglected the discussion of human passions because of the domination of functionalism, structuralism, and the theory of rational choice on the social sciences. The theory of rational choice, together with game theory, is still in a domination position, as it provides us with an elegant and integrative interdisciplinary approach to the social sciences. But it also means applying the economic approach to all human behaviors. It implies the belief that emotions can be the result of a rational choice through a cost-benefit analysis combining material and emotional satisfactions and costs. Becker defended this position: *"the economic approach does not draw conceptual distinctions between major and minor decisions, such as those involving life and death in contrast to the choice of a brand of coffee; or between decisions said to involve strong emotions and those with little emotional involvement, such as in choosing a mate or the number of children in contrast to buying paint (...).*<sup>545</sup> In keeping with this insight, this paper has strived to sketch another integrative interdisciplinary approach of human behavior based on the most critical emotions experienced throughout the social life, as they originate in the ontological position of human beings (inferiority). Indeed, the daily news tends to show us that the rise of violent behaviors throughout the world seems to be caused mostly by fear, envy, and fatherlessness (criminality, mafias, gangs, terrorism, arms race, etc.). The social sciences are in need of a conceptual framework capable of explaining and arresting these phenomena.

<sup>540</sup> Documentary Enquête exclusive, "MS13 the gang that terrorizes America", 24/09/06, M6.

<sup>541</sup> Ibid.

<sup>542</sup> Child Soldiers Global report 2008, p.163.

<sup>543</sup> Williams Z., "The UK riots: the psychology of looting", The Guardian, Tuesday 9 August 2011.

<sup>544</sup> "I don't doubt that many of the rioters out last week have no father at home. Perhaps they come from one of the neighbourhoods where it's standard for children to have a mum and not a dad.....where it's normal for young men to grow up without a male role model, looking to the streets for their father figures, filled up with rage and anger. So if we want to have any hope of mending our broken society, family and parenting is where we've got to start." D. Cameron, PM's speech on the fightback after the riots, Monday 15 August 2011. See : <http://www.number10.gov.uk/news/pms-speech-on-the-fightback-after-the-riots/>

<sup>545</sup> G. Becker, 1976, The Economic approach to Human Behavior, The University of Chicago Press, Chicago, pp.7-8.

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## UTILIZING GENERAL PSYCHOLOGICAL KNOWLEDGE FOR THE ENHANCEMENT OF TRANSLATING AND INTERPRETING PROFESSIONAL SKILLS

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### **Abstract:**

This article presents a hypothesis about the impact of field dependency upon the quality of translation and interpretation processes and language learning. The claim being made in this paper is that general psychological knowledge of field dependency can be applied to this specific area and contribute to the more effective development of the professional skills of translators and interpreters well as language skills of any language learners. Field dependency as an inner predisposition determines how we perceive and process information, and how we approach problem-solving tasks. As a cognitive feature with affective and social dimensions, field dependency manifests itself as the ability to separate parts from the whole in perceptual, abstract, and social fields. In this paper it is suggested that these subconscious mental mechanisms are present also in translation and interpretation processes, in which they may considerably determine the quality of outcomes. Different aspects of field dependency and field independency are influential in different types of translated discourse, interpretation situations and language learning tasks. The theoretical analysis of various aspects of this cognitive style is followed by their application to foreign language learning, translation and interpretation processes and illustrated by some examples of defective practices. The discussion could be of direct use to translators and interpreters by helping them become aware of their own subconscious preferences and mental mechanisms, and purposefully work with them in order to improve the quality of their work. Furthermore, it could help educators to develop language skills and the required professional skills of their trainees.

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**Key Words:** Psychological aspects, field dependency / field independency, quality of translation and interpretation, professional skills

In the field of translation/ interpretation most researches and professional discussions are traditionally focussed on the materials in question, i.e. text, discourse, literature etc., and on various linguistic aspects of translation / interpretation processes (semantic, pragmatic, grammar, interlanguage and intercultural interference etc.). However, as the processes are by human beings, it is obvious that the quality of final outcomes must be considerably determined by their inner predispositions, personalities and mental processes, both cognitive and affective; let alone the social and environmental factors. The fact is that little research has been done in this field and the number of relevant professional articles has been very limited so far. I am convinced that more research findings could “open eyes” to understanding many practical problems of translators / interpreters that have not yet been studied from this perspective. My intention is to present my opinions and hypothesis based on theoretical analysis of relevant psychological knowledge and, more importantly, to stimulate research in the field. My belief is that there is a huge potential for improving the development of professional skills, particularly in translator /interpreter training and education. Drawing on state-of-art psychological knowledge, the training of good professionals should focus not only on the development of their linguistic competence with its numerous sub competences necessary for a good translator /interpreter, but also on the development of skills and personal characteristics that can make them better professionals. In addition, their metacognitive awareness should be developed so that they could consciously utilize the strong points of their inner endowment and systematically work on weak ones.

Undoubtedly, there are many relevant fields, particularly in cognitive psychology, which could be focussed on and applied to this specific field of expertise. One of them seems to be the field of cognitive styles that are nowadays being studied and researched intensely, not only by cognitive

psychologists but also by experts in other fields, education in particular. Researchers seek to explain how people cognitively process stimuli from the environment, i.e. how they perceive input, process and store information, and how they subsequently respond to the stimuli. Due to the currently dominant focus on individuality, they study not only what people have in common but also how they individually differ in various characteristics. Each person has his/her specific features related to cognitive processes, due to which everybody constructs his/her subjective picture of the objective reality, processes information, solves problems, encodes (and decodes) thoughts into words in his /her own unique way. This leads to a wide variety in behaviours, approaches to tasks, responses to problems in various spheres and levels of mental functioning. Understandably, each translator / interpreter also perceives and processes a given text / utterance in their own way, uses different linguistic devices to express the same extralingual entity and behaves in their unique way.

Little research on cognitive styles has been conducted to date in the field of foreign language learning and usage (see in: Ellis 1994, Griffiths 1992, Reid 1995, 1998, Ehrman 1996, 2003, Riding 2001). Therefore we have to draw on the knowledge of experimental psychology and apply it to the specific conditions of translation / interpretation processes. Even if in experimental psychology there are plenty of research findings available, some experts doubt their validity due to numerous uncontrolled variables that might distort research results or allow different interpretations (see in: Witkin 1962, Mareš 1998, Skehan 1998). Inevitably, also in theory there appear various controversial claims and hypotheses leading to a plurality of opinions, and classifications. Therefore it is obvious that more research on psychological aspects of translation / interpretation would undoubtedly shed more light on relevant inner processes and help to improve the professional skills of translators and interpreters.

### **Field dependency/ field independency**

Field dependency seems to be the most frequently researched cognitive (or learning) style<sup>546</sup> in second language acquisition and usage. It was introduced, defined and extensively researched in the middle of the 20<sup>th</sup> century by gestaltpsychology, and in particular by Herman Witkin (see in Witkin 1962, Witkin and Goodenough 1981). Field dependency as an internal psychological characteristic is considered to be a very complex phenomenon consisting not only of cognitive but also of affective and social aspects (Chapelle and Green 1992, Skehan 1998, Lojová 2011). It determines how learners perceive input, process and organize information; how they approach various tasks, solve problems and how they behave in social interactions. Concretely, it determines to what extent people perceive individual elements as components that create the whole (field) or as parts separated from their environment (field). The whole may be either perceptual, abstract, or social fields. Generally speaking, the ability to discriminate perceptually as well as in abstract fields, in social situations and in language usage is considered to be a universal predisposition, in which people differ individually. This is also the case with the ability to perceive items in a given context and to see relationships between them. Field dependency as a personal feature is considered to be a continuum with two extreme poles. Each individual is characterized by his/her position on the continuum, which may change to some limited extent within his/her individual zone of flexibility. The scope of the zone is determined by numerous intrapersonal or environmental conditions and may vary in different contexts. Obviously, the extreme types (poles) are rather rare in real life. In spite of that, it seems to be more effective to study, research, and identify explicit differences between the two poles. In so doing, judgemental statements appear quite frequently, particularly when applying the theoretical knowledge to real life situations or characterizing people. However, it is important to emphasize that each pole has its positive and negative aspects. Therefore it is more useful to describe them objectively, analyze and explain their typical consequences and impact, which may be positive or negative depending on the different tasks and situations where a target language is used. Some examples are provided later in the article.

As has been mentioned, field dependency is predominantly characterized as a *perceptual feature* determining how people perceive perceptual stimuli (visual, auditory, kinaesthetic, etc.). Field independent people can easily separate parts from the whole, quickly and easily perceive details,

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<sup>546</sup> Various experts use the terminology differently. Detailed discussion see in Mares 1998, Dörnyei 2005, Lojova 2011)

remember them and process them independently. However, extreme field independency, also called “tunnel vision”, can be too restricting, as people tend to focus on details, whether important or unimportant, too much, which hinders their ability to see the whole picture.

On the other hand, field dependent people perceive a perceptual field as a non-analyzed whole and cannot see (or hear etc.) the parts that the whole is composed of. Extremely field dependent people are not able to perceive the details that may convey the important information or even change the meaning of the whole, whether slightly or fundamentally.

Some experts believe that field dependency can also influence attention, namely the ability to concentrate on a mental activity in an environment rich in stimuli, whether visual or auditory. Field independent people can concentrate better as they are not easily disturbed by surrounding stimuli (e.g. noise, music, television, people talking or moving around). In contrast, field dependent people are not able to concentrate when their attention is distracted by surrounding stimuli, which they are not able to block off.

Field dependency also manifests itself in abstract fields, which may be comprised of *abstract sets of ideas, thoughts or emotions*. As a result, it determines how people process, categorize and organize information and how they approach problem-solving tasks. When solving problems, field independent people tend to focus on separate ideas and details that have caught their attention, whether they are important or not. They are able to elaborate on them thoroughly, however, independently of the whole context. It may lead to a digression from the main problem, to an incorrect comprehension of the whole, or of the relations within the whole field. On the other hand, field dependent people approach problems holistically, consider the context, create a bird’s-eye view and easily grasp complex relations within the whole. Naturally, they are not able to focus on parts so tend to overlook or ignore them even if the parts may change the comprehension of the whole situation or may be crucial for solving the problem. In spite of this general predisposition, the field dependent may focus on details and analyze and process them thoroughly, but it is always from the perspective of the whole (e.g. how the change of a particular detail may influence the meaning of the whole, which is an inevitable way of thinking when translating literature).

Field dependency also determines our social interactions as it has a considerable impact upon the *perception of the social environment* we live in. In this perspective, it crucially determines our self-perception, i.e. perception of self in a social environment (field), as well as of other related affective characteristics such as self-esteem, self-image, relations to our social environment and our behaviour. It is suggested that a fundamental feature is a general orientation either towards internal or external frames of reference (Brown and Gonzo 1995, Chapelle and Green 1992). Internally oriented people (field independent) tend to perceive themselves as a separate identity, not as part of the society they live in. They think and behave independently of their environment, of other people. They draw conclusions according to their own interpretations; their self-image is a result of their own self-esteem and self-evaluation. Therefore they tend to be more self-confident and stable in their opinions, attitudes and behaviours.

On the other hand, externally oriented people (field dependent) tend to adapt their interpretations, conclusions, and behaviour to the expectations of their social environment. Their self-esteem depends much more on other people’s evaluation, which may cause various inner confusions and conflicts resulting in lower self-confidence and instability in opinions and attitudes. In problem solving and decision making they are also significantly influenced by the context and other people’s opinions. Understandably, their behaviour may also be modified much more by the current situation, atmosphere or social expectations.

### **The impact of field dependency upon translation and interpretation processes**

From the discussion above, it seems obvious that field dependency is a multi-componential individual characteristic that must have an impact upon numerous spheres of human activity. Research findings suggest that it also significantly determines the processes of second language acquisition and learning (Reid 1995, 1998, Ehrman 1996, 2003, Riding 2001, Skehan 1998). Therefore we could hypothesize that it will also determine the usage of a target language in real life. This suggestion is based on the hypothesis that specific cognitive skills enabling people to analyse perceptual and abstract fields are the same as the skills enabling us to analyse linguistic fields. Even if field

dependency research in the area of translation and interpretation is rather limited, the claim being made in this paper is that general psychological knowledge on field dependency can be applied to this specific field and contribute to the more effective development of professional skills of translators and interpreters.

It may be supposed that field dependent / independent interpreters and translators enjoy varying degrees of success when interpreting in various situations, contexts and conditions, or when translating different types of texts. Generally speaking, differences in field dependency lead to the different perception and processing of language input (both mother tongue and second or foreign language); different decoding and comprehension; different encoding into a target language, as well as different responses to the environment. When perceiving language stimuli, it is necessary on the one hand to classify language units independently of the context, so that they can be understood paradigmatically and used appropriately in different contexts and varied situations. On the other hand, they must be properly comprehended in a given context, which determines their current meaning. Accordingly we must perceive and comprehend a stream of sounds, words, phrases, clauses and sentences, both independently as separate units and holistically in any given discourse, i.e. in the field it is a part of. These processes are even more difficult and demanding when using a second or foreign language, as claimed by cognitive psychology. It is obvious that when translating or interpreting, both the processes are important. However, in different contexts and discourses they may have different roles, different importance, advantages and disadvantages. The typical characteristics of the two poles, i.e. field independent / field dependent, applied to translation and interpretation processes are described below:

*Field independency* as our predisposition manifests itself by the ability to analyze and cognitively reconstruct the linguistic material we are exposed to, identify its components, explore the relationship between them, and separate the essential from the inessential (Skehan 1998). However, too much focus on details and their manipulation independently of other elements may block the ability to see relations among them, contextual relations, and thus hinder the comprehension of the meaning of the whole text or utterance. Field independent translators / interpreters tend to stick inadequately to an original text and the lexical meaning of language units or structures used. An unknown word, phrase, or structure brings them to a standstill; they find it difficult to cope with phenomena such as different semantic fields, homonymy and polysemy, ambiguous meaning of linguistic structures or lexical units where a current meaning must be derived from the context or current situation. In the case of lack of linguistic knowledge, the field independent are not able to guess the meaning from the context. The same applies when they are not “experts” in a given subject matter. Due to these characteristics their target language text or utterance may become difficult to comprehend, illogical, redundant, meaningless, confusing or even nonsensical, which they do not realize. (e.g.: On TV news the sentence “*In Iraq members of the American intelligence were imprisoned.*” was translated as “*...intelligent people...*”; In a film the sentence “*.....he was getting blue...*” was translated as *blue colour* ;there is also a quite frequent misuse of deontic / epistemic meanings of modal auxiliary verbs or ambiguous meaning of their negative forms etc.).

Furthermore, highly field independent translators and interpreters lack the skills of generalizing, summarizing, condensing, reviewing, paraphrasing, “reading between lines”, or noticing situational relations. In addition, they may not be able to implement cultural differences into their outcomes adequately, even if they may know about them theoretically. Due to these predispositions the field independent tend to translate literally, word-by-word, not respecting situational aspects, cultural differences or social conventions (e.g.: inadequate translation of phrases in American movies such as: “*I love you.*” in languages or cultures where it is not so common to use this phrase or to express one’s feelings so openly and frequently; or: “*Hello!*” literally translated also to a language in which it is more common to use in various social situations other, usually more formal, greetings such as “*Good morning, Good evening!*” etc.). As a result, translated /interpreted texts and dialogues do not sound natural; they may even change illocutionary and perlocutionary acts, they may contain mistakes such as the inappropriate use of pronouns, modal verbs, relative clauses, etc., or may even change the message encoded in the original text.

In the auditory perception of language input, typical field independent interpreters are able to selectively focus their attention on stimuli essential for the comprehension of the conveyed meaning,

as well as on the crucial linguistic aspects. On the other hand, they also tend to focus on unimportant details, which may easily divert their attention away from the main idea. They may also get lost in numerous details, losing the thread and mutual relations. As a consequence, the interpreted utterance may become difficult to comprehend. When interpreting, they also tend to pay attention to random unimportant notes or phrases that native speakers may spontaneously insert into their utterances, often subconsciously. They mistakenly believe that the more literally they interpret, the better job they do. On the other hand, they do not take into consideration the meaning expressed by spontaneous non-verbal means of communication, which may considerably help convey the meaning.

Similarly, in the visual perception of linguistic material, i.e. in reading and translating, the highly field independent tend to translate each word, “play” with individual words and details, either linguistic or content, usually to the detriment of cohesion and coherence. Their ability to respect and implement interlingual differences, syntactic in particular, may be limited, even if their level of proficiency in a target language is sufficient (e.g. the usage of nominal constructions, passive and active voice, non-finite constructions, verb phrases, complex sentences etc.). Furthermore, they are not able to implement intercultural differences and differences in extra lingual reality adequately so as to preserve the illocutionary intentions of the original text.

Considering all these characteristics, we can hypothesize that people who are highly field independent are better or more successful when translating and interpreting various professional materials rich in technical descriptions with explicitly stated facts, exact and clear instructions, economic or legal documents etc., which require linguistic analysis, accuracy, precision, exactness and literal translation. As their internal frame of reference is dominant, they rely on themselves and prefer individual work. When interpreting, the field independent often require to be given the text in advance, so that they can study it, analyze and prepare thoroughly. Logically, they expect the speaker to follow (even better to read) a prepared speech so that they can interpret precisely as they have prepared. It is more difficult for them to respond flexibly to a changed situation or to feedback from the audience; indeed they may hardly perceive the audience.

From the perspective of developing their professional skills, field independent translators and interpreters should focus consciously more on functional characteristics of linguistic phenomena as well as on their pragmatic aspects. It seems obvious that their declarative knowledge dominates their procedural knowledge, and their linguistic competence is usually greater than pragmatic and strategic competences. Therefore they should consciously and purposefully develop skills such as generalizing, summing up, condensing, guessing the meaning from the context, paraphrasing, grasping contextual relations, and perceiving nonverbal means of communication. There are numerous foreign language teaching materials available that offer relevant techniques and activities for classroom settings as well as for self study.

As general psychological characteristics suggest, highly *field dependent* translators / interpreters, on the contrary, perceive and process language stimuli holistically, parts are merged with their environment, and with the whole text or discourse (field). It is difficult for them to separate some elements from the context, to notice details, whether essential or inessential. Consequently, fragmental input, incomplete information (linguistic or content) or partial problems do not prevent them from getting the whole picture. When perceiving foreign language texts or utterances, they get the main idea or the gist of a problem. They also understand an overall situation and atmosphere with ease, even if there are some unknown lexical units or structures. When learning a foreign language, as a consequence of underdeveloped analytical skills they are not able to effectively process linguistic information and gradually create the systematic body of declarative knowledge of the language. They also tend to underestimate linguistic rules, correctness and accuracy in their utterances. When the field dependent work as translators or interpreters these characteristics may result in more or less serious mistakes, which they do not consider important. Usually fluent and communicative, field dependent people focus more on functional characteristics of linguistic phenomena. However, their level of linguistic competence is usually inferior, which they do not mind. When translating / interpreting, they can easily create the general view; they are skilled in paraphrasing, guessing the meaning and relations from the context, and “reading between the lines”. However, they may also tend to be superficial, imprecise and inaccurate, as they miss details that may be important or may significantly determine the meaning of the whole. As field dependent translators / interpreters rely on an external frame of

reference, they are easily influenced by the environment, situation, atmosphere, and context. They are also able to respond flexibly to changing conditions as well as to feedback from the audience, which may result in their own clarification of the content or discussion with the audience. Due to their strong interpersonal orientation they enjoy cooperation and need to belong to a team. When interpreting, they can also be easily influenced by a speaker, whom they approach as a partner, or by the emotional atmosphere, i.e. they succumb to possible tension or stress. Due to their social dependence they may also suffer from inner inhibitions, which may create barriers and hinder their language performance, particularly in a foreign language.

All these characteristics suggest that the highly field dependent tend to prefer successive interpretation in less formal or familiar social or professional environments that allow them to move self-confidently within familiar linguistic and thematic environments, to interpret freely, to paraphrase and respond directly to feedback. They are successful in interpreting utterances that require condensing, generalization, and providing concise summaries of utterances that are weak in ideas or facts (e.g. formal welcome speech). In so doing, however, they may miss some important pieces of information (e.g. *when and where the meeting is.*), which they do not mind. They prefer interpreting in natural social situations where flexibility and situational alertness are required.

Similarly, field dependent translators are better at free translation of materials rich in implicit messages, hidden ideas, figurative language, various contextual and cultural connotations, and those with metaphorical and emotional elements carrying rich illocutionary intentions or aimed at strong perlocutionary acts (e.g. poetry).

The characteristics described above can be exemplified by differences in the quality of interpreting some types of utterance or translating some types of text such as:

*1. Interpreting a professional lecture rich in facts and concrete information:*

A typical highly field independent person interprets precisely each item of information and all facts as required. The audience can easily follow the facts and knowledge presented as well as logical sequencing and relations. However, should he /she focus too much on separate details, he /she may miss a possible complex relationship between the pieces of information. It may result in a lack of cohesion or coherence, which is obvious in the speaker's utterance. Running into an unknown expression causes a serious problem, particularly if the interpreter's expertise in the content field is not sufficient. Due to a strong focus on interpreted speech a highly field independent interpreter may have a limited potential to perceive the audience and to respond to the feedback from the speaker or the audience.

On the other hand a typical field dependent person interprets freely, expresses main ideas and paraphrases, which may result in omitting some details that may be essential for comprehension or may significantly determine the meaning. Such interpretation is not accurate or complete and indeed may be incomprehensible. Responding to the feedback he /she fills in missing information giving his /her own explanation, which he /she does not find inappropriate. In so doing he /she tends to communicate with both the speaker and the audience, which he / she usually enjoys.

*2. Interpreting welcome / farewell speech usually emotional but not rich in ideas, facts, or concrete information:*

Highly field independent people interpret literally word by word, which may be perceived as boring and monotonous or even inappropriate (e.g. various formal phrases that are culturally /language specific). They also interpret vague and redundant utterances or formal phrases due to their limited ability to select, condense and concisely paraphrase them or replace them with equivalent phrases in a target language. When expected to concisely summarize a longer stream of speech, they find it difficult to get the gist and to briefly express the main ideas.

On the contrary, a field dependent interpreter immediately grasps the purpose and atmosphere, interprets the main ideas freely, summarizes, paraphrases and uses equivalent phrases in a target language to transmit the message. He / she adapts the interpretation to the audience and situation respecting cultural and interlingual differences so that the overall "atmosphere of the speech" is preserved.

3. *Translating literature, i.e. texts full of figurative language, metaphors, ambiguity, contextual connotations, emotions, atmosphere etc.*

A highly field independent translator would precisely translate facts, main plots, logical relations etc. However, due to the characteristics described above and a lack of ability to “read between the lines”, to grasp the atmosphere and emotions expressed by varied linguistic devices he / she is likely to miss the atmosphere, some essential ideas and finally also the author’s main message.

Nevertheless field dependant translators are able to find appropriate target language means to convey the author’s message even if linguistically the means may considerably differ from the language means used in the original text. In so doing they often have to analyze also some important details thoroughly, although, it is always from the perspective of the whole text or situational context (e.g. how a different target language equivalent to the original word would influence or change the overall meaning).

Generally speaking, it is obvious that the overall quality of translation and interpretation processes does not depend either on field dependency or field independency. In different contexts, tasks and types of utterance different approaches are required. Theoretically speaking, it would be optimal for an interpreter or translator to be flexible so as to be able to activate the most suitable characteristics of field dependency in any situation. Even if this is not fully possible, each translator and interpreter should know his / her position on the field dependent /independent continuum and be aware of related strong and weak points. One may undoubtedly strive to consciously utilize one’s strengths and purposefully work on weaknesses so as to become more flexible. The aim is to move on the field dependency continuum within a wider individual zone of flexibility instead of subconsciously strengthening a relatively fixed way of functioning.

In addition, there are some research findings as well as empirical evidence suggesting that field dependency is not as fixed a feature as it was originally considered to be and that it may be determined by various factors such as age, type of task, social, cultural and natural environments etc. (see in: Cook 2001, Johnson 2000). This is particularly important information from a pedagogical perspective as it suggests that it is possible to develop the required professional skills of translators and interpreters. The above-mentioned knowledge may serve as basic guidance for such development.

In addition to the issues discussed above, it may be also useful to briefly describe the impact of field dependency upon language learning processes. According to P. Skehan (1998), field independent learners have better skills to analyze and cognitively reconstruct their structure of knowledge. Therefore they can effectively create their own interlanguage, linguistic competence and better resist fossilization. However, they are less successful in the practical application of the learnt knowledge. These characteristics imply that field independent learners are more successful in instructed classroom language learning focussed on explicit rules, analysis, and accuracy than in acquiring a language in natural settings, a point which has been supported in some research findings (Ehrman 1996, Naiman et al. 1996). They prefer strictly organized lessons dealing with each linguistic phenomenon separately and emphasizing structural features; they like learning linguistic rules and manipulating them; they can easily memorize a list of vocabulary, separate phrases, create mnemonics. Therefore they learn effectively through various controlled and focussed activities, drills, manipulation of structures etc. They usually stick to the textbook as too much authentic foreign language material might overload and frustrate them. In written tasks they tend to have more stylistic errors than spelling, lexical or grammatical ones. In listening and reading activities, they capture various details but may miss the gist, overall perspective or the main problem. Field independent learners usually prefer individual to group work and communicative activities. In so doing they usually don’t practice learnt knowledge sufficiently, lack fluency and promptness in verbal utterances. On the other hand, they do not suffer from inhibitions, social barriers and hindrances. As for assessment, they are more successful in tests and tasks focused on products (not processes) and declarative knowledge, such as multiple choice tasks, gap filling, transformation exercises, dictations etc. In oral exams they tend to reproduce memorized knowledge instead of focusing on understanding the overall meaning or explaining relations in the learnt material.

On the contrary, highly field dependent learners process foreign language stimuli holistically. As a consequence of underdeveloped analytical skills, they are not able to effectively process linguistic information and gradually create systematic knowledge of the language; therefore their

achievements may be limited. When perceiving foreign language texts or utterances (reading and listening comprehension activities), they get the main idea, overall atmosphere with ease, even if there are some unknown words or structures. They are skilled in guessing the meaning and relations from the context, in paraphrasing, expressing meaning in varied ways. However, they can be superficial, imprecise and inaccurate, as they miss details. They tend to underestimate linguistic rules, correctness and accuracy in their utterances, which may result in more or less serious mistakes. Field dependent learners focus more on functional characteristics of linguistic phenomena; tend to overestimate fluency and the ability to “just express yourself”. Usually they are fluent and communicative; however, their level of linguistic competence is often inferior, which they do not mind. Field dependent language learners learn more effectively in natural settings or simulated communicative activities in a classroom, which enable them to create their own complex associations. They enjoy using learnt knowledge in various classroom activities and in real-life communication. Their learning can be enhanced by varied classroom interactions and authentic materials. Their written tasks or dictations are full of spelling, grammar and lexical mistakes; however, they are cohesive and coherent. When assessed, they perform better in communicative tasks, tasks focussed on overall comprehension, contextual and situational relations rather than on grammar structures or the correct application of linguistic rules. In oral exams they recall more general information and, due to their higher communicativeness, their evaluation and marks may often be better than their real achievements. Field dependent learners enjoy cooperation and need to belong to a team, prefer group and whole class work, and tasks with social context. However, they tend to suffer more from social barriers and inhibitions that might hinder their speech production. Despite their lack of ability to create a complex system of the target language, field dependent learners are believed to achieve a higher level of overall communicative competence, which has been confirmed by some research findings (Johnson et al. 2000). It is supposed to be due to the higher interpersonal orientation, focus on social contexts, and the ability to grasp social relations.

### **Resume**

*This paper presents the hypothesis about the impact of field dependency / independency upon the quality of translation and interpretation processes. This cognitive style determines how people perceive and process information, how they respond to and solve problems. As a cognitive feature with affective and social dimensions it is characterized by the ability to separate parts from the whole in perceptual, abstract, and social fields. These processes are inseparable components of translation and interpretation activities, and may considerably determine the quality of outcomes. Different aspects of field dependency are influential in different types of discourses and situations. The discussion could help translators and interpreters as well as language learners to enhance their skills as well as educators to develop the required language and professional skills of trainees.*

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## HOMO OECONOMICUS: CONCEPTUAL ASPECTS BETWEEN DILEMMAS AND PARADOXES

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### Abstract:

The subject of this paper seeks to transpose the main conceptual aspects of sociological model of *homo oeconomicus* between the limits of dilemmas and paradoxes. Built in the way of a "snapshot" of some of the most popular views on human social evolution of this type, the paper points out contradictory "curriculum vitae" models created by economists and it is a starting point for further research that can respond fully to such interrogations: Is *homo oeconomicus* the representation of the total man or a caricature? Is *homo oeconomicus* the quintessence of true economic human behavior? The ideas advanced in this paper generate conclusions between subjectivism and objectivism positioning and argues that the identity of *homo oeconomicus* is dependent on adaptive human social anthropology in composition, re-composition, decomposition, association and dissociation. Evolution of the concept, the idea, the abstraction, and finally the model of *homo oeconomicus* and undeniable presence quota "complicates" things, and our character is more "scar", not lack of affection and impeccability.

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**Key Words:** Homo Oeconomicus, Theoretical Economy, Socio-Human Model

### Introduction

"Tired" and "discouraged" by the chaos and drift of the confluences of millennia he went through, opting for a development inevitably dictated by the manufacturer or teleological, subservient daily mercantilism sultry, preferring a transfer circuit counterpoint in his existential, cultural thirsty exhaustive, heterogeneous, difficult and yet rewarding giving diverse intellectual, man instinctively seeks an escape, a refuge induced by the recurrent definitive answers of the obsessive question: *Quo vadis ... homine?*

Aware of the pitfalls and benefits created by himself, man today lives the image of the company to which globalization is stuck in the mechanism attribute supreme and eternal ontological equation of becoming sustainable, the basic terms are marked by blood relations derived from tangible-intangible and reversible-irreversible relationships.

The sense of the mutations we are witnessing, from non-causal correlation between events, forming a system of echoes, resonances replays and a system of unwritten rules de jure but de facto recognized. And all this can be found in the expression of matrix that is established by the market democracy, constituting a new paradigm-matrix. And this matrix, eo ipso, suffers continuous changes and wants to print its own image; and the society, the state does not exactly acts as a representative of all human values or even man himself in goods.

Placing THE MAN in the globalization process brings the main point of the nowadays debates, the unity-diversity structure configured in a relationship/dynamic reciprocity, creating new types or reconfiguring old coordinates of old human types. And regardless of the "birth" of these types, everyone's life depends increasingly on translocal frames - regional, national, continental and, in the long run, global.

Supported by technology and by quasi potency of the new media, the almighty economy must be authoritative over other areas: political, social, cultural and even religious, claiming the authority of the *lex mercatoria* that triggers irreversible paths in all spectrums of society. Power switches to economics; finance in particular, technology and media. Freedom of trade, extremely high and competitiveness, transforms our entire existence, transferring biological Darwinism principles in

social and economic development: citizens became *homo oeconomicus*. A *homo oeconomicus* which otherness identity captured in the frames of *fatum* (asserting that chance) and *destiny* (the chance that assertion) is dependent on the generative anthropology by composition, re-composition, decomposition, association, dissociation.

On one hand, it becomes apparent contradiction between making this effervescent logic of private consumption and segmented image world / economy and, on the other hand, public consumption and public goods/common. On the other hand, antithetical antagonism to the consumerist model of *homo oeconomicus* and, the other side, waste and destruction of natural conditions, human existential as waste and ruin of human creativity is becoming more pressing. It is almost obvious that the model of *homo oeconomicus* reconsideration occurs precisely because of these situations in present tense, with reflexes tension: power relations who determine inertia in economical models, the models legitimized and human types, precisely because these old models are consistent with those in power.

So, although there is plenty of research that disproves them, although the spirit of anticipatory and preventive / proactive is laborious and creates human models and economic / societal alternatives, the inertia is still dominant.

### **Biography of *homo oeconomicus*: a contradictory curriculum vitae**

Often by mistake Adam Smith, the philosopher and the founder of classical economics, in his paper „The Wealth of Nations” (1776), it is considered responsible for "fraudulent entry" of *homo oeconomicus* in the economy.

The explanation of Albert Hirschman (1977) on how the "passions" that governed the behavior of *homo naturalis* in ancient times, have been replaced by "self-interest" in modern times cannot be considered a gain an advantage. But it is a mistake to believe that self-interest is entirely a smithean character of *homo oeconomicus*. He is indeed a male character, but in many respects it is more complex than his ancestor. The smithean man is a complex mixture of preferences, talents, inclinations and motivations, all grafted on personal interest, he is total man (Pohoățã, 2011, 81-82), caught in the framework of a quintuple perfection: perfectly rational, perfectly selfish, perfectly free, perfectly competitive, perfectly social (see in detail in Popescu, 2009, 184-185).

Smith's political economy is not positive, but in its normative teleology, is a political economy that does not pretend to be described as a positivist theory of any society in history - when it was published under best utopian society - but, rather, a political critique of existing social conditions. No wonder that it is considered a social critique of materialism, ethical radicalism and personal interest law, natural law, 'the ideology being in debate especially in academia.

*Homo oeconomicus* was born across social philosophy which emerged as an inseparable part of it. With some characteristics added over time (e.g. global rationality, including the beliefs, desires and good-provision), *homo oeconomicus* has become the invariable subject of economics.

Adam Smith's metaphysics will become, *mutatis mutandis*, impregnated with axioms of rational economic man (*homo oeconomicus rationalis*). Critical elements are addressed by methodological issues. Combining the natural law anthropology epitomized in *homo oeconomicus*, Adam Smith streamlines counterfactual to political economy. This rationalization is the focus of criticism from "The Wealth of Nations". Without man, ontological conceptualized natural law would not subject you to proclaim it freely: they stand and fall together. Important is the role of *homo oeconomicus* as mental artifact in the analysis of political economy. Dominant British tradition of classical economists, Malthus and Ricardo for example, paint a narrower portrait, but one in which self-interest is still an element of some motivations and preferences. For Thomas Malthus, human self-interest is more than overwhelmed by its natural affinity to procreate. The interaction of these reasons creates economic cycle between poverty and poor worker satisfaction in life. Moral restraint can act as a check on population growth, just because the man used his "ability to reason" in deciding to have fewer children. For David Ricardo, as in Smith, the capitalists are prepared to accept different rates of profit, depending on their perception of "safety, cleanliness, tranquility, or any other real or imagined advantage that an occupation can have over another". The psychology of the classical *homo oeconomicus* tells us about his motivations and actions, not about the individual consequences that these create on one's destiny or behavior. Individual will is characterized as part of human group

behavior, such as buyer or seller, or as a laborer or capitalist. Individual motivations and actions are essential to business however individuals are powerless in the face of economic laws which govern it.

Karl Heinrich Marx and Georg Wilhelm Friedrich Hegel will retrieve anthropology developed by Adam Smith as a strictly positive for their criticism. Critical matrix, according to the optimistic idealism of Hegel and Marx's historical materialism, embedded in Hegelian dialectic, emphasizes is on *homo oeconomicus* and his inclinations. Hegel rejects the idea of an ethics based on natural law liberalism, seeing in a given pre-social individual. In his view, the design of the world is in strict accordance with the gods. Adam Smith considered wrong in its premises, but should be congratulated on the conclusions.

Political Economy of liberalism serves the common good; market interactions are seen as reconciliation between personal interests. *Homo oeconomicus* competes with private and isolated economic objectives and the result is a harmonious civil society. "*Subjective selfishness turns into a contribution to meeting the needs of everyone else. Through a dialectical movement, the particular is mediated by universal, so each individual, gains, produces and enjoys on their own and thereby earns and produces the joy and pleasure of others.*" (Hegel apud Popescu, 2009, 605)

Ardent disciple of Hegel, Marx, warns against Smith's eschatological views. According to Marx, Smith's political economy is a defense built on an anthropology that cannot be sustained. Classical political economy that followed the Wealth of Nations is historically conditioned by forms of thinking clearly interspersed with social validity the conditions and relations, determining how historical production, i.e. production of goods.

Modern world economy is described in terms of classical economics, but his ethical principles are self-referential as rationalizations, not man's situation in the world and its living conditions as such, but of *homo oeconomicus* conditioned by the laws of capitalist economy. "*The man of the eighteenth century, on the one hand dissolutions product feudal forms of society and on the other side of the new productive forces developed in the sixteenth century, appears as an ideal whose existence is designed in the past. Not as a historical result but as the starting point of history. As a natural person suitable notion of human nature, it is not history, but it is postulated by nature.*" (Marx, 1858, 84, apud Wilson and Dixon, 2008, 249).

Political economy or the economy in generally cannot be derived from *homo oeconomicus*, rational or not, as a starting point. This is the epistemological conclusion in Marx's criticism of *homo oeconomicus* of classical, criticism that can also be found in John Stuart Mill.

The first explicit and conscious limitation in characterizing economic behavior came with the creation of *homo oeconomicus* of John Stuart Mill, a man emotionally limited in its register only economic motivations and inclinations. In his book "On the Definition of Political Economy" (1836), Mill 'slander' economics as follows: "*This does not address the whole human nature as modified by the social state, nor the entire human behavior in society. It is concerned with him solely as a being who desires to possess wealth, and who is able to judge the comparative efficacy of means to achieve this (purpose)*" (p. 321, apud Machlup, 1978, 89).

Mill's characterization of *homo oeconomicus* is an "abstraction" of the whole man, totally, and was introduced deliberately to make possible a science of economy in two ways. In the "anatomy" of Mill's *homo oeconomicus*, you can see signs of willingness to caricature economists individual, because we are dealing with a skimpy portrait lazy but entirely effective

Individualism and subjectivism was the favorite but for Max Weber who, as we know, has rejected the concept of *homo oeconomicus* of economic theory called exact, his approach is one purely ontological. As agents of socio-economic processes, individuals are enrolled in certain frameworks and constrained by a complex structure comprising multiple and their various interactions with others.

The so-called "marginal revolution" in economics, in the 1870s, Mill's *homo oeconomicus* received a new characterization of the individual, he become more effective, efficient. Since Mill's classic economy took a break on the production and distribution laws and rejected the existence of economic laws of consumption, for Jevons "the economy should be based on a full and fair investigation of the conditions of utility (usefulness) and to understand this element, it is essential to consider the needs and desires of man." (Jevons, 1871, 102, apud Schabas, 1990). This change has significant implications for economist's value theory, market theory and the concept of balance.

Although these significant changes in the economy have been started by economists with slightly different interpretations, I will focus on the contributions of William Stanley Jevons (1871) and his main character, which I call *homo oeconomicus computans* (who calculates); this is the direct ancestor of *homo oeconomicus rationalis* in modern economy.

If we consult the works of Vilfredo Federico Pareto, institutional benchmarking and many theorems public choice theory, which is based on "... belief that *homo oeconomicus model appropriate behavior remains the derivation of normative proposals of the institutions themselves*" (Brennan and Buchanan, 1981, 165), required should ask: is *homo oeconomicus* a ontological model relevant in scientific matters? Pareto is trying to clean the *homo oeconomicus* of all psychological content and connotations induced by default semantics. In pure economic frameworks of political economy, *homo oeconomicus* acts to maximize his advantage individual's *ophelimity* as a strictly personal relationship between himself and his belongings. The use of *homo oeconomicus* as a referential leads to indifference. The lack of indifference between freedom and socialism capitalist competition at a standstill in the first approximation to solve the problem within pure economy. In a second approximation, the impasse can be overcome by modification of *homo oeconomicus*, who "... acts only as a result of economic forces". (Pareto, 1896, § 592, apud Morgan, 2006)

While classical economists have reduced the *homo oeconomicus*, the marginal and neoclassical economists such as Knight, exaggerated certain characteristics of (computing capacity and "perfect knowledge") to create a fictional idealized model of *homo oeconomicus*. These exaggerations were required not to understand man in real economic life, but because *homo oeconomicus computans* could act as "required" general mathematical theory strongly in the economy that was created by neoclassical economists.

For John Maynard Keynes, the figure of *homo oeconomicus* is one where coexist a drop of some fundamental assumptions of classical liberalism and a certain incisiveness to change the status quo fueled by subjective factors. Jon Elster even perceives the great economist "obsessed with hedonism and the present moment", and therefore, this *carpe-diem* is lead by, for Keynes, "*homo oeconomicus* may be trying to" propensities "but means he is not willing to play a "seller" of wisdom or others concerned about the future of his relative." (Pohoată, 2011, 84). Primary for *homo oeconomicus* dominant Keynesian stance consumer is a consumer activity which the state can intervene, but only as a last resort.

In fact, all representatives of the Austrian school promoted a revival of neoclassical rationality of *homo oeconomicus* on the basis of methodological individualism. For example, Ludwig von Mises combat universalism, holism, collectivism, stressing that the company itself, although it has an ancestor on the individual, is a "*sum of individuals united cooperative effort*" (and here hypostatic figure of *homo oeconomicus reciprocans*!), but the individual is one who acts and thinks he is the author of all *ex cathedra*. In this climate, the division of labor is fundamental result is induced cooperation, but the company remains a means, not an end "in terms of individual, society is the best way to achieve their goals." (Mises, 1985, 174, apud Pohoată, 1993, 94-95).

We thus see that *homo oeconomicus* becomes more altruistic, hedonistic logic may allow by Mises, except: *homo oeconomicus* is a complex entity, subject to the laws of competition, but not devoid of feelings and moral understood its axiological frameworks (virtue vs. vice). If Smith has the merit of being established, exhibits and realize certain values of *homo oeconomicus*, even caricatured manner, Mises's transplanted into the realm of *homo oeconomicus* rehabilitation.

Same effort, but on another level, is found at another Austrian economist branded Friedrich Hayek for the synthesis of *homo oeconomicus* is an entire culture. In view of the economist, *homo oeconomicus* is cleared of any abstraction, is subject to cyclicity in which he himself is a *quo* point (where) and *ad quem* point (to where) and setting the framework for action defines as social individual: create their behavioral rules, and respects you aware of the outcome of this action - its good and others. For this individual, altruism, philanthropy without being identified, is the vehicle that defines him in building the social order.

The liberal *homo oeconomicus* was designed to express personal interest in exchange and consumption maximum personal utility, neoliberal rational actor expresses its interest in entrepreneurship and competition for maximum profit. Thus, while liberal rational actor's own interests converge with others to produce desired social order, competitive neoliberal *homo*

*oeconomicus*, determined by their own purposes, is determined to create appropriate incentives structures, "directives" for purposes of individual personal socio-productive.

However, French radicalism, new economy, managed to outline an image in terms of combined classical-neoclassical economics crisis that acclaim. So *homo oeconomicus*, in French radicalism came under the knife in the position of a homunculus, an "abortion of capitalist society ... the typical, simplistic and reductionist formalistic manner of looking at and analyzing man." (Pohoată, 1993, 125-126)

### ***Homo oeconomicus: total man or caricature?***

*Homo oeconomicus* embodies a set of idiosyncratic theorems, descriptive and normative, fit with the trends of the natural and social reality, which gives rise to a concept, particularly circumscribed to social reality that underlies his particular way of describing and explain economic realities.

### ***Can homo oeconomicus be considered a total man?***

Interrogation can find at least one attempt to answer. Of course, looking at the above and based on systematic reviews present in the literature (see Dixon, 2010) affirmative answer may seem brave, perhaps subjective. Perfection of the individual and thus human models he created them or who joined discussed various registries, multidisciplinary, was not confirmed by anyone. In contrast, seems much closer to the truth imperfection. If we look at Adam Smith and the image he created our character, total man would have enough arguments. Evolution of the concept, the idea, the abstraction, and finally the model of *homo oeconomicus* and undeniable presence quota "complicates" things, and our character is more "scar", not lack of affection and impeccability. Our character, as it raised, had the *non posse mori* and not *posse non mori*, in other words he did not had the instruments to oppose the changes that were imposed to him by the very same environment that created him.

*Homo oeconomicus* cannot be a ***total man***, as Adam Smith sketched to perfection, but it is a ***whole man***. That's right: with the scar, sequelae, uneven and subject to therapeutically healing, but is whole. Without hesitation transmit position for this variant, we present below a model of ***summa oeconomica***, which characterizes our model, noting that generalization is schematic, so minimal, not total and omissions not exempt:

**a) on knowledge and truth**, *homo oeconomicus* is an epistemological position that the world, including every individual present there, existing properties a priori, without that they are experts, independent of human belief of the truth, their reality (metaphysical realism) cognitive and gives authority. They are surrounding reality and contingent mundus to be real (realism), material (materialism) and objectively knowable (objectivism) by adopting "natural epistemology". (Rorty, 1997)

**b) on reasoning and rationality**, *homo oeconomicus* views by reasoning involves *ens a se* to shape or draw inferential conclusions from objective epistemological premises or concrete phenomena evident. This makes a concrete explanation, practical, deliberate or causative (which is effective). (Hollis and Sugden, 1993)

**c) on free volition and freedom**, *homo oeconomicus* sets to the idea that one is superior to social group and focuses on negative freedom (freedom from) and so on personal autonomy, personal freedom and the need to justify any imposition of restrictions. (Berlin, 1969)

**d) on human nature**, *homo oeconomicus* embodies the idea that individuals invariably have concerns for their own interests and selfishness, excluding most of the times, the needs or interests of others, predisposition to action motivated by self-preservation and self-interest (namely on conceptual matrix of self-serving, self-centered, self-interested and self-preservation. (Roese and Olson, 2007)

**e) on social action**, *homo oeconomicus* sets to the idea that social actions are the product of utility calculations, the assumption based hedonistic self-interest in putting together a site pathos (passions, desires, tastes, preferences) and logos (motivation or instrumental reason), ie, *homo oeconomicus* is not just ***zoon noetikon*** - (reasonable man), it is also ***zoon politikon*** - (social man). (Sen, 1987)

**f) on ethical and morality**, *homo oeconomicus* symbolizes the ethical principle that morality decisions (actions) and actions can be judged by an investigation logical, persuasive (ethical

naturalism) using moral knowledge (moral realism), which is formulated in terms related to non-moral parameters such as individual pleasure or utility, making the material consequences of moral arbiter (indirect ethics). (Christman, 1989)

### Conclusions

This brief above, followed the path that economists have adopted a model of human economic behavior. We crossed through a series of portraits, some narrow, others more complex. From the total man of Adam Smith to Mill's *homo oeconomicus*, to *homo oeconomicus computans* of Jevons and Edgeworth's, *homo oeconomicus moralistic* or *behavioralis*, our character gradually weakened (become more absent) during the nineteenth century. Each request was part of an attempt to systematize the main features of the model, feelings and human emotions, actions resulting from them, all converted into "explicit economic aspects" of human behavior. And this amount has given us a model of *homo oeconomicus*.

Since the late nineteenth century, since the marginal economy, we find these pure forms of economic behavior, often exaggerated to an extreme degree, so that *homo oeconomicus* is endowed with tremendous amounts of economic knowledge (knowledge economy) and certainty attempt to analyze the effects of economic behavior. In neoclassical economics of the twentieth century, *homo oeconomicus* is not given as an example to represent real man, totally, but seems a figure artificially created by economists abstracted.

Process simplification and focus attention on economic behavior offered possibilities to achieve analytic hyper-rich in literary production economic, human economic behavior with all the feelings of the individual or collective events. The invention of the nineteenth century, *homo oeconomicus*, and the main descendant of the next century, *homo oeconomicus* rationalis become equally timid in this analysis.

However, *can homo oeconomicus be considered, in its entirety, a caricature?*

Considering the truth that a caricature based on the artist's subjective vision which not only simplifies, but based on distortion or exaggeration of certain features beyond objective truth, we are obliged to recognize that it is this distortion or exaggeration is what allows us to recognize true significance of the characteristic exaggerated. The same is true for *homo oeconomicus*. He is not only a simplification of man, as all models of hominess are, but he is also a caricature, because it boils down to an extreme degree the essential features of economic behavior. The caricature appeared and evolved gradually from one generation to another, economists have become less concerned with real-life representation model elements and more concerned with his idealization, to emphasize the role / roles in economic theory. Once economists have given a more accurate representation / concrete *homo oeconomicus*, they were free to choose a more subjective perspective in portraying their favorite character.

This caricature model of the man that economists have portrayed, is what helps them to learn about idealized theoretical economy, and they do this because they allow them to explore human economic behavior and its consequences in different (exaggerated or not!) their forms. Also abstracted model, caricature of *homo oeconomicus* seems a funny and sometimes ridiculous other social science researchers, but if I needed a paradox, it is precisely why economists, in their model apology, argues analytical comparisons success made exactly the same representatives of social sciences when they take the *homo oeconomicus* model in their work. And the **paradox** goes further: analytically compared, *homo oeconomicus* becomes malleable, transform itself just the way on that research, because if it were so inflexible, it would not be able to be a good model, worthy of consideration. Although economists have come to "depend" on their caricature, **dilemma's** essential response (total man or caricature?) is clear: *no one can deny the value of caricature in building an accurate picture.*

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# MOTIVATION, STYLES AND STRATEGIES

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## Abstract:

Throughout the history of foreign languages teaching has been observed using different methods and approaches, role of teachers and students, researches and results in acquiring a second language. Those factors have contributed to improve student's learning process. Nowadays adopting or opt more for a communicative approach which develops the use of language through meaningful and relevant tasks for the student. It is also important to take into account or consider other critical factors such as knowledge or to know that students have their own type of motivation, style and learning strategies. According to Tobias (1994): ' *Each of us perceives the world differently, in a unique way, consistent with our own style shaped by multiple factors, and that leads us to have our own preferences and skills, as well as our own weaknesses and deficiencies* '.

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**Key Words:** Motivation, Styles , Strategies, Learning

## Introduction:

### 1. A Study to find out learner's motivation, styles and learning strategies in a teaching Spanish classroom.

The study objectives are:

- a) To discover what kind of motivation and learning styles students use.
- b) To create awareness in them to the importance of knowing different learning styles.
- c) To help students reflect on their own learning process.

### 2. Context Of The Study

The study was carried out to a group doing LA421-LA422 Intensive Initial Spanish Programme at Modern Languages; Language & Linguistics Department, University of Essex.UK. There were 28 students taking the Spanish programme mentioned above, they were undergraduate students. The lessons were 2 hours 3 days a week and because of being a large number of students they were split into groups. Group A has 16 students and Group B has 12, on Thursdays both groups are taught together, (28 students). The students' age are from 18 years old to 37 years old, and there was a wide range of nationalities including Polish, Rumanian, British, Cypriot, Lithuanian and Russian, as well as students from the UK. (See appendix III).

### 3. What Motivation Means

#### 3.1 Motivation

Lightbown and N. Spada stated (2006) : '*Motivation in Second Language Acquisition could be defined in terms of two factors : On the one hand, learner's communicative needs, and on the other hand, their attitudes towards the second language community*'. So, to a higher motivation the best result a student will gain in his learning process. Another opinion about what motivation means: effort, desire, and attitude towards learning a foreign language

(Dörnyei,2005). After working three years at Modern Languages in the Language and Linguistics Department, University of Essex, I have observed that students are highly motivated to learn Spanish. From my point of view if the students are motivated I should contribute to maintain that individual factor, motivation.

### 3.2 Types Of Motivation

According to Robert Gardner and Wallace Lambert as cited in 'How Languages are learned' (OUP 2006) mentioned two types of Motivation: Instrumental Motivation (language learning for more immediate or practical goal) and Integrative Motivation (language learning for personal growth and cultural enrichment). Besides the most common and simple kinds of motivation are Extrinsic, Intrinsic, Travel and Xenophile Motivation. Extrinsic motivation is when the interest comes from our parents, someone else or something else to motivate students to learn a second language. Intrinsic motivation stands for learner's own motivation in learning a L2, their attitude is more positive, they have an inner interest and because of that

Learners tend to have a better result in their linguistic competence. A Travel motivation means students are interested in learning a foreign language for travelling for pleasure to places where the L2 is spoken officially. And the final type of motivation, Xenophile is when students are keen on learning another language to be able to communicate with overseas people.

## 4. Styles And Learning Strategies

### 4.1 Styles

According to Tobias, C.U. *The way they learn. How to discover and teach to your child's strengths* (1994): 'Each of us perceives the world differently, in a unique way, according to our own style shaped by multiple factors, and that leads us to have our own preferences and skills, as well as our own weaknesses and deficiencies'. Taking into account Tobias definition I propose to use appropriate learning strategies to facilitate the success of the acquisition of a foreign language (Spanish).

The above statement and my own interest in guiding students to be successful in their L2 learning process made me to do research about 'Motivation, Learning Styles and Strategies' on a Spanish course, in the hope that my research findings might be of value to Teachers and help them to successfully educate students in learning a foreign language (Spanish).

### 4.2 Types Of Learning Styles

According to the learning style model, students tend to use or prefer particular learning strategies since everyone is unique and has their own combination of learning preferences. Rod Ellis (1985:114) defines 'cognitive style' as: 'cognitive style is a term used to refer to the manner in which people perceive, conceptualize, organise and recall information. Each person is considered to have a more or less consistent mode of cognitive functioning'. What it is understood in a general overview that 'cognitive style' is the form a student sees, perceives, monitors, stores and remember linguistics information. However, how to find out students' styles, what to do after recognizing learners' styles and how to include styles while teaching a foreign language. Those are the questions I made myself and made me think about the research I carried out.

The study was based on J.C. Richards y Ch. Lockhart's learning styles (1998:60-61): 'concrete, analytical, communicative and authoritarian learning style', the reason for choosing their classification it was the most simple and easy to apply for a large sized group of participants, 28. It was found from the study that if a participant knows his/her style, s/he would prefer certain learning strategies over others, in their studies. The task of both the teacher and the learner, particularly if they are aware of individual learning styles, is to develop ways integrating appropriate styles and learning strategies into the classroom. I could integrate those styles through questionnaires and letting know students what their styles are and how this individual factor influences in their role.

### 4.3 Strategies

The current advocated teaching methodology is based on the principles of student-centred Learning. Research in foreign languages learning classrooms have shown that students learn less effectively when the teaching methods used are teacher centred stated at *Teaching Methods* (2006) FUNIBER Organization. As a consequence, second language teaching is now more focused on learner's learning process 'on the How and What they learn' in a L2 class. Students are guided to take a more active role on their learning process. Active participation is encouraged by the teacher, who

manages the learning process that uses learning strategies that engage the learner directly in learning the language.

The hope is that students reflect and learn about their own performance and are guided to self-autonomy, learn to learn, and become the centre of their own learning.

Considering learning strategies as tools to facilitate student's learning process made me read and research more on that topic. First, to know what 'learning strategies' mean, general overview of them, characteristics and classification of them according to writers/researchers and how to develop them in a foreign language classroom (spanish). And what i plan to investigate is 'how to develop learning styles and strategies in a spanish course' considering the following issues: learners' context, methodology, sex, age, culture, motivation, styles and learning strategies. What i expect to research or find out is to know what are the most common learning strategies used by learners of spanish as a foreign language so i would propose those ones to be included in any course because if teachers know learner's styles and strategies could facilitate student's success in learning a second language.

#### **4.4 Types Of Learning Strategies**

In recent decades in the field of cognitive psychology studies have been done on the type of learning strategies that students use most often when learning or studying a language. The research findings have been used to improve students' learn. *Learning Strategies* (2006)

FUNIBER Organization, Spain. Specific research interests look at:

- What the student does.
- The processes student uses while learning.
- The strategies students adopt in developing these processes.

The most common groups of strategies have been classified by Richards.J.C, and Lockhart,Ch (1998) and Oxford,R. (1990) as being Cognitive, Metacognitive, Memory, Compensation, Social, Affective and Communicative (see appendix IV) for their definition.

To know how and what students do while learning Spanish will give me more choices to improve my teaching role like designing materials in which they could learn in an easier and more motivated form. I could prepare more student-centred activities in which they could get more involved, be more reflective and reflexive, be autonomous and guide them from Dependency learning to Independency learning and I would plan a variety of tasks to develop a variety of strategies according to the research results. For example if students tend to use more affective and metacognitive strategies, I would prepare and design material to develop those strategies mentioned before. Also, I would tell students what kind of motivation they have and what kind of strategies they use most and why they are important in their learning process. I would emphasise that a wider variety they have a better results they will have in their learning process in Spanish or any foreign language they study.

### **5. Methodology**

#### **5.1 Data Collection**

Permission was asked to Gladis Garcia, teacher of the LA4221-LA4222 to apply the Instrument on Thursday because it is when the whole group is together (see appendix V). The Total Questionnaires applied were 21 from 28.

The first questionnaire was called 'Finding my Styles of Learning' divided into two Sections, the first one refers to learner's motivation and the following chart shows the statements and the kind of motivation for each item.

**Table 1 Reasons for students to learn Spanish****Section I**

a. To travel into a Spanish speaking country	Instrumental Motivation
b. To know about the culture of a Spanish speaking country	Integral Motivation
c. I could get a better job if I speak Spanish	Instrumental Motivation
d. I will study a postgraduate degree in a Spanish speaking university	Instrumental Motivation
e. Because it's my own interest	Integral Motivation
f. Because I'd like to meet and talk to Spanish speaker people.	Integral Motivation

**Section II**

In this second section there were 24 items which allow knowing students' predominant learning styles. There are four styles based on J.C. Richards y Ch. Lockhart (1998) each style is grouped by six statements (see appendix VI) and a frequency value was given to know which style was the predominant. The styles are: Concrete, Analytical, Communicative and Authoritarian.

The second instrument is named: 'My Learning Strategies'. It is a questionnaire compound of 42 items grouped on a classification of six strategies and a frequency value was given to know which group they prefer: Cognitive, Metacognitive, Social, Affective, Memory and Compensation (see appendix VII).

After describing the general overview of the group studied and given details about the instruments used to carry out the research 'LEARNER'S MOTIVATION, STYLES AND LEARNING STRATEGIES IN A TEACHING SPANISH CLASSROOM' analysis and results will be described on the following section

**5.2 Data And Results Analysis****a) DESCRIBING STUDENTS' MOTIVATION**

Analysing the first section from Questionnaire I, it is found that students show the following kinds of motivation while learning Spanish choosing number 1 as the most important to 6 the least important for them (see appendix VIII).

<b>Student</b>	<b>Kinds of motivation</b>					
S1	2	4	5	6	1	6
S2	1	4	6	5	3	2
S3	3	2	4	6	1	5
S4	3	4	5	1	6	2
S5	1	2	5	6	3	4
S6	2	3	4	1	5	6
S7	3	5	4	6	1	2
S8	2	3	1	6	4	5
S9	2	5	1	6	3	4
S10	2	3	4	6	1	5
S11	6	4	3	1	2	5
S12	3	4	5	6	1	2
S13	2	5	1	6	3	4
S14	3	2	5	6	1	4

S15	2	4	3	6	1	5
S16	3	5	2	6	4	1
S17	1	1	3	4	2	1
S18	5	5	6	1	4	3
S19	5	4	6	2	6	5
S20	2	3	1	6	4	5
S21	2	3	6	5	1	4
	a	b	c	d	e	f

- a. Instrumental Motivation
- b. Integral Motivation
- c. Instrumental Motivation
- d. Instrumental Motivation
- e. Integral Motivation
- f. Integral Motivation

Choices of kinds of motivation while studying Spanish (1-6)

**Choice number 1**, as the most important reason to learn Spanish:

Three students chose as their most important motivation or interest to learn Spanish the option **a** and the kind of motivation is Instrumental, they are interested in learning the language for travelling reasons and be able to communicate in Spanish speaking countries.

Just one student selected **b** as his/her most important reason to learn Spanish, and belongs to the Integral style, it is his/her interest to know about cultural facts from Spanish speaking countries.

Four learners pointed out choice **c** as the most important for them, this means learn Spanish to get a better job opportunity if they speak it and the kind of motivation is Instrumental.

Four students chose **d** as the main reason to learn Spanish, they are interested in studying a postgraduate degree in a Spanish speaking university, and the type of motivation is Instrumental.

Eight people selected **e** as their most important choice, 'it is their own interest to learn Spanish' and the kind of motivation is Integral.

Two learners showed **f** as the most important interest to learn Spanish, they would like to meet and talk to Spanish native speakers, and the type of motivation is Instrumental.

**Choice number 2:**

Nine students had an Instrumental motivation because they chose **a** as being interested in learning the language to travel into a Spanish speaking country.

Three students showed having an Instrumental type of motivation while selecting **b**, they are keen on learning Spanish to know about the culture of Spanish speaking countries.

One person chose **c** as a second option, S/He might get a better job if S/He speaks Spanish. Another person pointed out **d** as S/He might study a postgraduate degree in a Spanish speaking country.

Two learners selected **e** because it is their own interest to learn Spanish.

Four learners chose **f** as a second option because they would like to meet and speak to native Spanish people.

**Choice number 3:**

It has been observed that six students selected **a** statement as their third choice; they are interested in travelling to Spanish speaking countries.

Five learners are keen on knowing about cultural issues on Spanish speaking countries, **b** choice.

Three people are showing as their third choice to learn Spanish because they could get a better job if they speak Spanish, **c** statement.

Nobody chose **d** as their third option.

Four students showed **e** as their third choice to learn Spanish, it is their own interest.

One person chose **f**, S/He would like to meet and talk to Spanish speaker people

**Choice number 4:**

Nobody chose **a** as a fourth choice to learn Spanish.

Seven students selected **b** as an option to learn Spanish in fourth place, to know about the culture of a Spanish speaking country.

Four people showed **c** as their fourth choice, learning Spanish to get a better job.

Just one student chose **d** as his/her fourth option, studying a postgraduate degree in a Spanish speaking country.

Three people selected **e** as fourth option, being their own interest to learn Spanish.

Five learners pointed out **f** as fourth choice to learn Spanish to meet and practice with native speakers.

**Choice number 5:**

Two students selected **a** as less important to learn Spanish, for travelling to a Spanish speaking country.

Five learners showed **b**, knowing about the culture of a Spanish speaking country.

Five people chose **c** as a fifth choice, to get a better job if they speak Spanish.

Two students have shown less interest on learning Spanish to study it for getting a postgraduate degree in a Spanish speaking country, **d** choice

Just one person showed **e** option to learn Spanish; it is his/her own interest.

Seven learners pointed out **f** choice to learn Spanish because they would like to meet and talk to Spanish native speakers.

**Choice number 6, as the least important to learn Spanish:**

One student showed **a** as the least important statement to learn Spanish, to travel into a Spanish speaking country.

Nobody chose **b**, to know about the culture of a Spanish speaking country.

Four people have selected **c** as the least interesting for them to learn Spanish, getting a better job if they speak Spanish.

Thirteen students pointed out **d**, to study a postgraduate degree in a Spanish speaking country, as the least important issue to learn Spanish.

Two people chose **e**, because it is not their own interest to learn Spanish.

Two learners selected **f** as the least choice to learn Spanish, they would not like to meet and talk to Spanish speaker people.

After analysing students' kind of motivation, it is shown that the most predominant motivation is the Integral one, eight from twenty one students have chosen **e** choice, and they are motivated to learn Spanish because it is their own interest. They are self motivated to cope with their learning goals. Although as a second important choice is to travel into a Spanish speaking country, belonging to the Instrumental motivation. To sum up students have a mixture of both motivation, Integral-Instrumental. After knowing how motivated the group is, it helps me to develop or plan activities to raise or maintain their high interest in learning Spanish, I could use the Problem Based Learning method which fulfils the profile of the Higher Education student in UK, being more active, reflective, reflexive, creative and autonomous, and getting involved in their own learning process.

**5.2 DATA AND RESULTS ANALYSIS****b) DESCRIBING STUDENTS' LEARNING STYLES**

On the second section of Questionnaire I, students chose the situations they prefer to learn Spanish. There are 24 items grouped in a set of six statements to give four styles: Concrete, Analytical, Communicative and Authoritarian (see appendix VIII). The result of the analysis on students' learning style is shown on the below chart:

STUDENT	PREDOMINANT STYLE	LESS PREDOMINANT STYLE
S1	COMMUNICATIVE	AUTHORITARIAN
S2	ANALYTICAL	AUTHORITARIAN
S3	CONCRETE	AUTHORITARIAN
S4	CONCRETE/COMMUNICATIVE	AUTHORITARIAN
S5	CONCRETE	AUTHORITARIAN/ANALYTICAL
S6	CONCRETE/ANALYTICAL	COMMUNICATIVE/ AUTHORITARIAN
S7	AUTHORITARIAN	CONCRETE
S8	ANALYTICAL/COMMUNICATIVE	CONCRETE
S9	CONCRETE	AUTHORITARIAN
S10	ANALYTICAL/COMMUNICATIVE CONCRETE/AUTHORITARIAN	
S11	COMMUNICATIVE	ANALYTICAL/AUTHORITARIAN
S12	ANALYTICAL	CONCRETE/COMMUNICATIVE
S13	ANALYTICAL	AUTHORITARIAN
S14	CONCRETE	AUTHORITARIAN
S15	CONCRETE/ANALYTICAL	COMMUNICATIVE/ AUTHORITARIAN
S16	COMMUNICATIVE	AUTHORITARIAN
S17	COMMUNICATIVE	AUTHORITARIAN
S18	AUTHORITARIAN	COMMUNICATIVE
S19	ANALYTICAL	COMMUNICATIVE
S20	COMMUNICATIVE	AUTHORITARIAN
S21	CONCRETE	AUTHORITARIAN

#### Students' predominant learning styles

Five learners have the 'concrete style' as their predominant style of learning. Moreover three more students also have the concrete style as dominant in combination with another style. So seven people have a 'concrete style' while learning Spanish. Some characteristics of this style are: being curious, spontaneous, risking and students prefer visual and verbal learning experiences.

Four learners show having 'analytical style' as their predominant style of learning. And four more students also belong to that style but combined with another style. In total there are eight people focusing on the style mentioned above. Students tend to infer and analyse, they prefer learning through the logic and doing research and solving problems.

Five students tend to have a 'communicative style' of learning as predominant. But there are three more having that style mixed with another style. So it is observed eight students showed the style mentioned above. These kinds of students prefer working in groups, interacting and socialising with others, they tend to be self autonomous and be democratic in a classroom.

Three students showed having 'authoritarian style' and they prefer learning in a traditional class, they like the teacher guides and order what to do in class, they do not like to take risks and decisions by themselves.

Six students have a mixed-up style while learning Spanish. So it is possible to have a combination of styles.

To sum up the predominant styles in the group LA421/LA422 are the 'Concrete and Communicative and style' counting with five students to each style and in a mixed-up style, too. The second predominant style is the 'Analytical style' with four learners and the last predominant style with three people is the 'Authoritarian style'. Knowing the students preferences I will look for activities and tasks to develop more those strategies. To base teaching material on Problem Based Learning method, this will give students to face arguments, to think and give their opinions, share information, work individually and as a part of a group, get more involved in their learning process, be more critical thinking, creative, reflective and reflexive.

## c) Describing Students' Learning Strategies

**LEARNING STRATEGIES RESULTS:**

Key	Metacognitive Strategies	Cognitive Strategies	Communicative Strategies	Social Strategies	Affective Strategies	Memory Strategies	Compensation Strategies
S1	13	14	11	16	8	10	13
S2	13	16	12	16	12	15	22
S3	15	17	13	14	17	13	16
S4	21	13	12	16	15	13	17
S5	15	14	12	18	19	17	16
S6	20	12	18	18	17	17	16
S7	23	16	18	14	13	15	13
S8	16	15	13	16	17	9	13
S9	21	9	17	15	19	14	20
S10	19	17	18	15	18	19	16
S11	13	16	13	13	20	14	17
S12	20	16	11	15	11	15	14
S13	13	10	12	10	15	8	4
S14	15	11	13	17	18	16	14
S15	15	13	12	12	12	17	16
S16	12	15	12	14	14	13	14
S17	20	15	17	15	18	13	16
S18	15	16	10	14	12	11	18
S19	13	22	19	11	12	21	20
S20	23	19	12	15	17	12	13
S21	17	19	18	15	20	14	19

**The most predominant learning strategies**

Two students have found with two predominant strategies groups, Metacognitive and Memory group and the other one, Metacognitive and Affective Strategies.

The most predominant strategy group used by the learners is the 'Metacognitive' which they plan, organise and evaluate their own learning process. Eight students based their learning on those strategies mentioned above.

Another predominant group of strategies is the 'Affective', learners tend to reduce their anxiety, nervous and they try to make efforts and reward themselves when achieving their learning goals. Using 'Affective strategies' help students to cope with some negative emotions and raise positive motivation.

Three people prefer using 'Cognitive Strategies' which help them to understand systematically how the language works. They tend to use these strategies to analyse, compare the languages, take notes and reason the language system.

The Memory group is preferred by two students as the name itself, they are strategies or techniques using the memory. For example: writing lists of vocabulary, drawing vocabulary to record and memorise it. Two learners like using 'Compensation Strategies' which help to compensate their limitations while learning a second language, they adopt a behaviour to cope with their role in a conversation or reading activities like using periphrases, avoiding a topic or guessing with non linguistics clues.

One student prefers using 'Social Strategies', these strategies improve students' communication skills, they like to participate in group conversation, ask most of the time while having problems if they do not understand something, emphasise on information clarification and verification and like to socialise with their classmates.

Finally it is shown that most of the students from the group LA421-LA422 tend to use more Metacognitive and Affective Strategies, some few use Cognitive, Memory and Social and Compensation strategies. Nobody had Communicative strategies as his predominant.

### Conclusion:

After analysing and having the results from the group studied about its kind on Motivation, Learning Styles and Strategies, it is concluded:

First, as a teacher we must know what type of motivation students have, a better attitude towards the learning process a better result learners will have and facilitate the teaching learning process as well. According to S.P. Corder (1981): *'If there is motivation, the success of learning a second language is guaranteed'*.

Second, if the teacher knows students' learning styles it will help him to understand the variety of students' styles, so they should be aware of, to propose and use general activities to match most of the styles in a classroom. And it is also important to let students know what their predominant learning style or styles are because this will inform and help them to facilitate their own learning process.

To conclude, Students will be more conscious of the strategies they already use; they will be encouraged to use strategies that help them reduce stress, nervous, anxiety and any other negative feelings that might interfere with their learning. Students will be able to control their already used strategies more efficiently, and they will be able to choose to use new strategies or not ones which are less effective. The studied group preferred some kind of strategies more than others, such as metacognitives, affective and cognitive ones. In addition each student has developed a certain set of strategies or a mix of them. As many different groups of strategies used by students a better success they will obtain during their learning process. If students only tend to use just a group of strategies, the teacher's role will be to guide them to be able to try a wider set of strategies.

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## SERVICE - FEE MECHANISM IN THE PPP PROJECTS

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### Abstract:

Today it is clearly evident that the governments, of every level, cannot complete all the growing needs of the population for the main services, by acting alone. The need to ask for asking support from another sector, for the completions of these services constitutes the necessity for a collaboration with the private sector. The partnership of the public sector with the private one is one of the most promising forms for resolving different problems. This collaboration aims at recognizing the benefits that those two sectors can have, from the financial resources, the experience and professional knowledge per the base public services aimed for the whole citizens.

One of the most important problems of a PPP Project is the considering of service Fee mechanisms. Albania is now improving the legal frame to develop PPP projects not only from the central government but from the local Authorities too. The local Authorities have not still the capacities to solve the problems with the Fee calculating.

This Paper will consider the issues relevant to the Service-Fee mechanism:

- Scope of services
- Service-Fee payment structure
- Structuring Services Fees based on :
  - Usage/demand

These issues will help the local Authorities in Albanian to understand the difference of the calculating Fees for different projects of the PPPs.

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**Key Word** : PPP, Soft FM, Service fee-mechanism, opex, capex

### 1. Introduction

This Paper considers issues relevant to the Service-Fee Mechanism:

- Scope of services (2);
- Service-Fee payment structure (3);
- Structuring Service fees based on:
  - usage/demand (4);

### 2. Contract Scope

A preliminary issue, before considering various Service Fee mechanisms in more detail, is what should be included within the scope of a PPP Contract anyway? There is a fundamental difference between projects such as roads, where most if not all the services (such as accident recovery, repair and maintenance) are normally included within the scope of a PPP contract, and projects such as hospitals, where there is a considerable variation in the possible scope of services (for example, it obviously makes a substantial difference to the PPP Contract whether or not medical equipment or clinical services are included). The arguments for the ‘whole-life’ benefit of an integrated approach to a PPP bid has been a lot, but questions can be raised:

- How does a Public Authority deal with the situation where a bid consortium has strong and weak members, e.g. a good Construction Subcontractor, but a poor FM services provider, or a good financial package but a poor Construction subcontract?
- should design always be left to the bidders? It is arguable that in case of a straightforward where there is a little scope for innovation, the Public Authority is in as good a position as

any bidder to prepare the design, which will make the bidding process quicker and cheaper. Bidders can of course suggest improvements. (This approach was adopted, for example, for Chilean toll roads<sup>7</sup>.)

- Should finance be left to the bidders? Funding competitions effectively separate finance out at the bid stage, and debt finance can even be provided by the public sector and so removed from the bid package completely - this again raises the issue of whether the role of “financial facilitators” is helpful to the PPP market.
- Should Soft FM services be included in the scope of the PPP contract ?

The most common of these “unbundling” questions probably relates to Soft FM services. Two types of services may be included within the scope of a PPP Contract - Hard FM, i.e. routine maintenance of buildings and equipment, and Soft FM, e.g. cleaning, catering, security, etc. Hard FM is an inherent part of a PPP Contract, since the whole basis of the Contract is the provision of the Facility in “working order” throughout the terms of a PPP Contract. The arguments for including Soft FM are:

- Bidders will take account of Soft FM requirements when bidding for and designing the Facility.
- It removes the interface risk - e.g. the Project Company will not have the excuse that a failure of Availability was actually caused by Soft FM providers not involved in the PPP Contract.
- It gives the Public Authority a one-stop point of contact for all service issues on the Facility.

Balanced against this:

- The level of payment deductions which can be made for poor service is limited, since the level of fees paid for soft services is such that the Soft FM Subcontractor cannot realistically be expected to take on responsibility for disproportionate financial consequences for failure to perform. For example, penalties may be a maximum of one year’s fees under the FM Subcontractor.
- It is precisely these Soft FM services which are at the front end of the Facility’s interface with the users and general public, and where failures has a disproportionate effect on support for PPP projects in general.
- These services also tend to employ the most staff, and therefore raise the most difficult issues relating to transfers of staff from the public sector.
- The Public Authority’s soft service requirements may change substantially over the life of a PPP Contract, and therefore a very long-term Soft FM Subcontract is too rigid for this purpose.
- Soft FM service providers are reluctant to sign very long-term Subcontract because of the difficulty of predicting their own costs.
- if there are provisions for benchmarking or market testing, these really divorce the Soft FM Subcontract from the rest of PPP Contract and further weaken the case for its inclusion.

Exclusion of Soft FM services from the PPP Contract does not mean they cannot be provided by the private sector, as they can still be provided under an entirely separate contract on an out-sourced basis. If Soft FM is not included, specifying service quality is likely to be less complex, since it will relate primarily to maintenance. So where a relatively straightforward building project is involved, the case for including Soft FM services within the scope of a PPP Contract is not strong, and a Public Authority will probably benefit from the greater flexibility of dealing separately with these services. However, if the Facility is complex, then there may be benefits in transferring all of the FM interface risk to the private sector. To take the ‘unbundling’ argument to its local conclusion, a Public Authority could set up its own Project Company, and then procure each of the Subcontracting elements and the financing separately.

### 3. Payment Structure

The basis for building up the basic Service Fee schedule, and the levels of payments, in summary, the revenue stream —whatever the type of PPP Contract —must be sufficient to cover:

- opex ;
- debt service, plus the lenders required Cover Ratios; and
- equity return.

This is a function of a PPP Contract term and payment profile. Inflation must also be taken under account, as relevant, when structuring Service-Fee revenues and projecting costs.

The service –Fee provisions also have to take into account:

- revenue during construction.
- the effect of a delay in completion
- capex contributions by the Public Authority
- capex payments to the Public Authority and
- revenue payments to the Public Authority .

#### 3.1 Contract Term

Arithmetically speaking, the longer a PPP Contract lasts, the lower the level of Service Fees and so if the Public Authority wants to keep the Service Fees as low as possible, the PPP Contract should be signed for as long a term as possible. For example, if a project costing 1,000 is financed at an overall cost of 8% p.a. over 15 years, the annual payments to provide this return will be 117, but over 30 years the annual payments will be 89. However, it should be borne in mind that the longer the term of the PPP Contract, the longer the period of the private-sector financing at a comparatively high cost, and therefore any annual ‘saving’ derived from lengthening the PPP Contract period is an illusion. In the example just given, total (undiscounted) payments over 15 years are 1.752, while over 30 years they are 2.665 - i.e. the cost of paying for the project over another 15 years is over 50% higher. The natural limit for a PPP Contract period is the life of the Facility which is the object of the Contract, but a road, for example, really has no natural life, as it is continually being renewed with maintenance, and a building such as a school has no obvious or predictable end to its life. So the effective life of the Facility is often of limited relevance. Conversely, if the facility has a very short life, a PPP is not likely to be appropriate anyway. Therefore the main factors which need to be taken into account in considering the appropriate term for a PPP Contract are:

- **Affordability:** if the PPP Contract term is too short the Service Fees may be too high to be affordable either by end-users in the case of a Concession, or by the Public Authority in the case of a PFI-Model project<sup>2</sup>;
- **whole-life benefits:** if the PPP Contract term is too short, the benefits from whole-life design and costing from the initial bids will not be achieved;
- **lenders’ term:** the length of the repayment term lenders are willing to offer, may set a maximum length on the PPP Contract term, since it is not financially efficient to have a long Tail period after the debt is repaid;
- **the absolute financial benefit from extending term:** e.g. in the example above, extending the term from 15 to 30 years cuts the annual payments from the public budget from 117 to 89, albeit increasing the total amount of the payments; if the term were increased to 35 years the annual payment would be 85 - i.e. the marginal benefit of each increase in the term, in terms of lower annual payments, gets smaller and smaller;
- **long-term flexibility :** this is probably the most important limiting factor in setting the term - it makes little sense to make a small annual saving in payments while locking the Public Authority into a PPP Contract<sup>2</sup> which cannot be easily changed if its requirements may have changed substantially;
- **the maintenance cycle for the Facility:** e.g. does the Public Authority want to have the Facility returned shortly after a major maintenance, or, say, half-way through the major-maintenance cycle?

Especially in the case of Concession<sup>3</sup>, there may be a case for fixing the Service Fees and then letting bidders propose the term of the PPP Contract as part of their bid.

### **3.2 Payment Profile**

The payment profile is also important. There is obviously a temptation for the Public Authority to 'back-end' the payment stream, so making the project cost less today and leaving someone else to worry about making higher payments in 20 years' time. Such behavior pushes a PPP project towards being an expensive way of borrowing money. In principle, Service Fees should be level over the life of the Contract. The same public service is being provided by the Project Company over the life of the project, so the payments should be the same. This is a matter of 'inter-generational equity' - we should not expect our children to make disproportionate payments for benefits which we enjoy today. Conversely, investors will usually prefer to 'front-end' the payments, to increase their equity IRR<sup>6</sup>, which will mean that their long-term interest in the project performance will be reduced. A structure where Service Fees reduce sharply after the debt has been paid off is also unsuitable for these reasons. These general level-payment principal is, however, subject to the effects of inflation.

### **3.3 Revenue Payment During Construction**

The public Authority shouldn't make payments for something which is not completed, and hence normally payments should not begin until the facility has met the required standard of completion. (In the case of the Concession, clearly users will not pay until there is something to pay for.) However, if some form of interim service is being provided by the Project Company during the construction period - perhaps because construction is in phases - than a proportional payment can reasonably be made for this<sup>1</sup>. Interim revenues can also be provided when the Project Company takes over an already -operating Facility, typically a Concession such as a road where tolls are already being paid, and uses these revenues as part-funding for construction. Any such arrangement adds to the construction-phase risks for the Project company, and raises similar VfM issues for the Public Authority to other types of capex contribution, as discussed below.

### **3.4 Delay In Completion**

Subject to this point on interim revenues, the main incentive for the Project Company to ensure that the Facility is completed on time is that Service Fees aren't paid until service is complete. Moreover late completion will eat into the operation phase, and thus further reduce the return for the investors. However the Public Authority may itself suffer a loss resulting from the late completion, because it has to make other arrangements for continued provision of the service. If such additional costs can be reasonably anticipated and quantified in advance it is appropriate for there to be delay liquidated damages payments (LDs) under the PPP Contract to cover them. LDs aren't intended as a penalty, but a pre-agreed fair estimate of the losses the Public Authority will suffer from the delay; they may be secured by a bank bond (payment guarantee). The maximum amounts payable will normally be capped —i.e. there cannot be unlimited delays.

Any LDs will probably be passed on by the Project Company to its Construction Subcontractor, who will take the risk of taking them into account in setting the construction price. Thus LDs have a direct effect on the whole -life VfM of PPP Contract since this extra cost will have to be covered by extra Service Fees. It may be worth while getting the bidders to bid for the PPP Contract with and without Delay LDs to assess the best VfM position.

There may come a point (sometimes referred to as the 'Sunset Date')<sup>6</sup> where completion of the Facility has been delayed so long that the Public Authority may wish to have the right to terminate the PPP Contract. If the Public Authority is charging Delay LDs, this point would normally come when these LDs run out (or if they are not paid).

In other cases, the longer the delay goes on, the more the financial pressure on the project Company, its investors and lenders, to sort the matter out. Assuming that the Public Authority would prefer to have the facility delivered late than not at all, there is no need for a 'hair-trigger' approach<sup>6</sup> to termination for delay, and quite a lot of extra time can be allowed.

### **3.5 Capex Contributions To The Public Authority**

A financial contribution from the Public Authority towards capex may be caused as a way of lowering long term Service Fees to make a PF1-Model project affordable<sup>3</sup> or a concession financially viable; the contribution may be derived from revenue during construction, as discussed above, or the proceeds of sale of surplus land as a result of building the new Facility. However, capex contributions raise some risk transfer issues<sup>4</sup>.

### **3.6 Capital Payments To The Public Authority**

In concession projects, the project may already have been partly-built with public-sector funding, so that for example a section of a road may already be collecting tolls from users; this already-built road section may be included in the Concession to make the project more viable by providing a stream of existing revenue while the new toll-road section is being built, as discussed above. The value of the toll revenues from the existing road section can obviously be taken into account by the private-sector investors, so reducing the tolls which have to be paid on the new road section. However, the Public Authority may consider that the effect of doing this is that the general taxpayer has paid the cost of constructing the initial road section, and now there are no toll revenues to offset these costs ( and perhaps service public-sector debt which was taken on to cover them). Therefore the Public Authority may require bidders to include an initial lump-sum payment in their bids to cover this 'sunk cost'. The economic efficiency of this is open to question, as the end result is that the private-sector investors will have to take on more debt, at a higher cost than any public-sector debt which it is replacing, and feed this extra cost through to the road users' tolls. Payment for a Franchise to operate an existing Facility is similar in effect, but the motive is even more likely to be the benefit to the public budget despite any economic inefficiency. A toll road will have a higher value for a Public Authority than it does for a private-sector purchaser if the Public Authority values the stream of revenues by discounting them at the PSDR (Public sector discount rate) whereas the purchaser discounts at a higher cost of capital (which of course raises again the issue of whether the PSDR should be different to the private-sector cost of capital. On the other hand if the proceeds of a Franchise sale enable the Public Authority to pay off debt originally raised to pay for the Facility, this may improve its credit rating and thus reduce its overall cost of borrowing.

### **3.7 Revenue Payments To The Public Authority**

A concession Agreement may also provide for payment of 'Concession fees' to the Public Authority. If these are based on a sliding scale depending on the usage of the Facility, this is a reasonable way for the Public Authority to share in the success of the project, although this does put the Public Authority in the position of a de facto investor without the normal rights which an investor has to control the business.

Payment of fixed Concession Fee, on the other hand is open to similar objections as those against payments of an initial capital sum to the Public Authority, discussed above: effectively this is an expensive way of raising revenue for the public sector as it will mean that the Concession term will have to be longer to fund these extra payments.

## **4. Usage-Based Payments**

In general, private-sector investors are willing to take demand risk on a Facility:

- where it has an open-market usage, e.g. an office building which is provided to the Public Authority under a PPP, but if the Public Authority chooses to live the building it can be leased to a private-sector user; or
- where there is likely to be a consistent demand, e.g. for transportation.

The private sector will generally not take demand risk usage is dependent on the Public Authority's actions. For example in the early development of the PFI in Britain the idea of investors taking demand risk for PPP prisons was tested, but there was no appetite for this<sup>5</sup>.

Having placed the Facility in the category where demand or usage risk might be transferred to the private sector, how is the decision whether to do this finally reached? For example, a road could

either be provided under a Concession and thus subject to real tolls, or funded by the Public Authority with Shadow Tolls, or paid for on an Availability basis by the Public Authority. How is the choice made between these alternatives?

- Firstly, the Public Authority will normally examine if the road can be provided through a Concession, possibly with some public-sector financial support.
- Secondly, if the Public Authority wishes to transfer the usage risk, but real tolls are not practical (e.g. because of insufficient traffic, complex links with other roads, or because tolls would distort traffic flows too much), a Shadow –Toll structure can be considered.
- Alternatively, if the transfer of usage risk is not considered practical or does not provide VfM for Public Authority, an Availability- or – service – based payment structure can be adopted.

These alternatives are discussed in detail below.

#### 4.1 Requirements For A Concession

Taking a road as an example, whether a Concession is likely to be viable is a function of:

- traffic projections; as a rough rule of thumb, traffic lower than 10.000-20.000 vehicles per day is likely to make it difficult to generate enough toll revenue to fund a stand- alone Concession;
- the level of tolls which could be generated on these assumptions;
- if traffic levels are too low, whether the project would become viable with some level of financial support by the Public Authority;
- even assuming that tolls could be generated, the Public Authority has to consider whether it is suitable for this road to be tolled, taking into account factors such as:
  - how tolling fits within the overall national roads policy;
  - whether there is a free, if slower, alternative road; closure of free roads to force drivers onto the toll road is fairly certain to cause political problems;
  - whether there is a ‘willingness to pay’ on the part of users – e.g. there are usually strong objections if a road which has not previously been tolled is then made subject to tolls unless there are clear new benefits for drivers; and the actual level of the tolls must take into account not only the financial requirements of the project, but also the ‘reasonableness’ of the toll level as perceived by users;
  - whether traffic not wishing to pay the toll would be diverted onto other less suitable roads, causing obstruction, or increasing environmental problems (e.g. from additional pollution);
  - the behavior of heavy goods vehicles (HGVs), tolls from which are usually a major component of revenues, as there is typically a substantial differential between tolls for cars and tolls for large vehicles; HGVs are much more likely to divert to free roads, so if HGV drivers decide to use alternative routes a toll road is unlikely to be viable;
  - how easy is it to operate a toll system, and how well would this fit with connecting roads; (note that there are two ways of tolling a road – a ‘closed’ system measures where drivers get on and off the road, and charges are paid for distance, and an ‘open’ system where there is one fixed payment for using any part of the road);
  - conversely, whether tolling the road would discourage local short-distance use of a road which is intended for long-distance traffic (the biggest problem with any new road which runs past a major conurbation).

If, having been through any exercise, it is clear that a real toll system isn’t workable (even with support from the Public Authority as discussed below), the Public Authority will then consider PFI-Model alternatives, namely either Shadow Tolls<sup>1</sup> or an Availability-based payment. Similar principles can of course be applied to other Concession-model Contracts.

#### 4.2 Toll Levels

The level of tolls for a Concession road can be set in three possible ways:

- Bidders bid on the basis of fixed initial toll payments, which can then only be increased at, say, the rate of inflation during the Concession period.

- Bidders are given freedom to set tolls at whatever level the traffic will bear.
- The Public Authority sets the tolls, as part of a national road-tolling strategy.

The approach to this is likely to be linked to the extent to which the Public Authority provides any financial support for the Concession.

#### **4.3 Financial Support From The Public Authority**

If the projected usage and Service Fees for a Concession produce insufficient cash flow to make the project financially viable, the Public Authority may use various means to support the project. If the Public Authority is trying to keep the Concession out of the public budget, rules for the amount of support which can be given before it ceases to be off-balance sheet need to be borne in mind (e.g. no more than 50% support under Eurostat rules<sup>5</sup>). This public-sector support can be justified by the wider externalities produced by the Concession, although it could also be argued that the very fact that these externalities cannot be priced into tolls suggests that tolling should be used with caution.

Support can take a variety of different forms:

- capex contributions;
- revenue guaranties;
- subsidies; or
- debt guarantees.

Alternatively the Public Authority may decide that the Concession Model is not the ideal one, and support is best provided through the PFI Model via Shadow Toll or Availability payments.

**Capex contribution.** The Public Authority may provide a capex contribution, i.e. funding part of the capex, through:

- grants or subsidies (non-refundable);
- the proceeds of sale of surplus land no longer required for the facility;
- a loan - any loan will have to be subordinated to the other lenders, and interest payments and principal repayments may be postponed until net cash flow after the Senior Lenders' debt service has reached a certain level, or surplus cash flow may be divided between payments on the public-sector funding and Distributions to investors;
- equity investment – like the loan, payments of public-sector investors have secured an agreed level of return.

Capex contributions raise risk-transfer issues. It is obviously inappropriate for the public-sector money to go in first and thus bear the whole initial construction risk on the project – so it should go in last. Indeed the ideal position is that the Project Company should fund construction fully, and then only if completion takes place should any public-sector funding be injected, as otherwise the Public Authority is effectively taking back some of the construction-phase risk. The Project Company should be able to arrange interim funding which would be repaid from the public-sector contribution after completion. An alternative approach is to require the investors in the Project Company to guarantee repayment of any such capex contribution if construction is not completed (or to provide bank guarantees for this). But even after completion of construction there remain risk-transfer issues with capex contributions. There is a case for suggesting that capex contributions are simply inappropriate as they do not reflect the long-term nature of risk-sharing in a PPP-if the Project Company defaults a few years into the PPP Contract the Public Authority will probably not receive proper value for any capex contribution, since the Senior Lenders will have first claim on any value which the project has at that point. On the other hand, if support is provided for revenues, as discussed below, rather than capex, this means that the Project Company has to raise more private-sector funding, with a consequent effect on the Service Fees.

**Revenue subsidies.** If it is necessary to reduce Service Fees to make the Concession viable, a fixed subsidy towards operating costs can be offered. Clearly this remains a fairly crude approach, which makes it possible for the Project Company to earn wind-falls from unexpected traffic growth. A preferable method of subsidy is therefore payments on a sliding scale, reducing as usage increases.

**Revenue guarantee.** If the issue is not one of reducing the Service Fees, but uncertainty of whether there may be enough revenue although the Base Case gives a reasonable expectation that enough revenue can be generated, then a ‘Fare Box guarantee’<sup>3</sup> (as it is known where passengers are involved, but the same principle applies to other usage guarantees, e.g. for a road Concession) may be used, i.e. the break-even level of passengers which covers opex and debt service is agreed, and insofar as the level of passengers is below this, the Public Authority pays the equivalent of enough fares to bring the total up again. If the number of passengers is over the guarantee level, the benefit of this is usually split on a sliding –scale basis between the Project Company and the Public Authority. This can be limited to a ramp-up guarantee whereby minimum usage levels during the first few years of operation are guaranteed, the theory here being that all parties expect the projected usage levels to be reached, and the only doubts is how long it will take to achieve these levels.

In all such cases, the proportion of support needs to be carefully considered: it is obviously unreasonable for the Public Authority to guarantee 100% of the Base Case revenues or passengers usage, as this not only negates any real risk transfer but also removes the incentive on the part of the Project Company to increase the numbers of passengers. Therefore a revenue guarantee should either be for a fixed percentage of projected revenues (e.g. 70 % as under the Chilean 1991 Concession Law )<sup>7</sup>, or a sliding scale of support(as used in South – Korea), which takes the ram-up point discussed above into account: thus 80% usage may be guaranteed for the first 5 years, 70% for the next 5, 60% for the next 5 and nothing thereafter, the effect being to cover opex and some, but not all, of the debt service, leaving equity fully at risk.

However, there is a fairly sorry history in various countries, e.g. Mexico in the early 1990s<sup>1</sup> and more recently in South Korea, of Concession being undertaken on the strength of revenue guarantees rather than a proper evaluation of the usage risk, with consequent heavy costs falling on the Public Authority as the guarantees are called in.

**Debt guarantee.** If the Public Authority and the investors consider that the project is viable as a Concession , but the lenders are not confident on the usage level, another cost-effective way of providing support to enable the project to proceed will be for the Public Authority to guarantee some of the debt. As with revenue guarantees, so long as a case can be made that such a guarantee is unlikely to be called upon, this may not have any effect on the public budget.

**Concession extensions.** Rather than providing direct financial support, the Public Authority may agree that if usage falls below a mutually-agreed level, the Concession term can be extended pro rata: the additional revenue at the tail-end may thus help to make up any deficit. This is very similar to bids on the basis of lowest NPV of revenues.

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## MARITIME TRANSPORT AND TOURISM SUSTAINABLE DEVELOPMENT

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### Abstract:

Maritime transport worldwide had always been and still remains to be a very important catalyst for the economic development. It is the backbone of international trade and key engine driving globalization. Around 80% of global trade by volume and over 70% by value is carried by sea and is handled by ports worldwide; these shares are even higher in the case of most developing countries.<sup>547</sup>

In Adriatic and Ionian countries, maritime transport is playing an important role due to the geographical position, and has been a key factor for the development of trade and the maintenance of contacts between them and the rest of the world. Currently maritime transport has become an efficient way to attract various visiting tourists, and therefore, plays an important role in the development of tourism in Mediterranean.

Recently, EU and many International and National Organizations are paying a special attention for the development and modernization of maritime transport, in order to play a more effective role in the framework of the sustainable development of transport, tourism and the economy in general.

This paper will present an expanded view of the improvement of the legal framework and maritime infrastructure, aspects that directly affect the development of tourism. For this purpose, in this paper we will pose the progress of recent years in maritime transport and the legacy of the past with particular focus on its recent modernization.

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**Key Words:** Maritime Transport, Tourism, Infrastructure, Environment

### 1. Introduction

Strategically positioned in the north of the center of the Mediterranean, Adriatic and Ionian seas can be considered to be a very important maritime activity in Europe. This is a very heterogeneous area in terms of economic, environmental, cultural and historical interactions. The economic and social relations between countries and regions have always been a very important factor. They include valuable and vulnerable marine ecosystems are facing numerous environmental challenges such as increasing urbanization and maritime traffic. The prospect of EU membership for some of the countries bordering these seas means that in the future there will be a steady rise in the free movement of people, goods and services in the seas. Divisions resulting from conflict situations and the differences in economic development are being overcome. However, coastal countries still represent unequal levels, building technical experience and financial resources to ensure the sustainable development and management of sea

According to statistics, it turns out that only in Europe, maritime ports handle 30% of the external transport of tourists and 35% of the domestic passenger transport<sup>548</sup>. Considering the statistics the role of maritime transport in the global economy can be considered as the backbone to support international trade and globalization.

Maritime transport and maritime affairs in general should be considered as a very important source not only economic but also social development of the modern world. For all coastal states, the sea has been and continues to be a source of prosperity for the further development of international reputation. Maritime highways requires no funds to build and maintain them, but just to build and

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<sup>547</sup> UNCTAD Review of Maritime Transport 2012, Foreword of Supachai Panitchpakdi – Secretary General of UNCTAD

<sup>548</sup> EMSA Report 2006, “Safer and Cleaner Shipping in the European Union”, Foreword of Executive Director Willem de Ruiter, page 1. (ISBN 92-95032-04-7).

maintain the ports, which are the points of departure and arrival of ships as well as serve as a link between shipping other types of transport.

The purpose of this study is to present in an efficient way possible of positive and negative effects that maritime transport plays in the sustainable tourism development and consequently revenues from tourism. Likewise, this study aims at presenting the weaknesses and strengths of transport and will provide some ideas on where to constrain attention on strengthening the maritime transport and increasing the economic income from tourism without affecting environmental pollution.

It is also necessary to make an economic and legal analysis of the situation regarding the role of maritime transport on tourism in Europe, highlighting the shortcomings and benefits and to take necessary measures to increase as much as possible the benefits, despite the global crisis that has occupied European countries.

The legal innovation of studying of the impact of maritime transport in tourism development will be located in two main aspects: in academic aspect which has a certain importance for the academic audiences in the fields of business, tourism and the legal and practical aspects where companies and touristic agencies as well as the population to be more informed on this mode of transport as well as the challenges and benefits of marine transportation in the field of tourism as well as strengthen their co-ordination towards a sustainable development.

The following study will focus primarily on transport as an element that has a significant impact on a country's tourism. If economic development would be compared with the human body then the sustainable transport would be considered as the blood and blood vessels with transport infrastructure<sup>549</sup>. As that there are several modes of transport like land, air and maritime this study will be focused to only on maritime transport and its impact on tourism, including the description and development of the legal framework as well as maritime infrastructure, excluding other modes of transport, as well as this study will not be focused on the role of maritime transport of goods in tourism development.

In the following research article it will be used the qualitative approach. It will initially be done an interpretative and epistemological approach of the concept of tourism, later will be used a legal and economic interpretation of the current legal system in the field of tourism and maritime activities which will make possible the establishment of a legal framework to enable the readers to easily understand the scope of this study and finally a description of the performer current situation by suggesting measures that should be taken in the future to determine the appropriate national and international strategies with the view to increase the passenger transport and tourism in the country.

## 2. Sustainable Development Of Tourism

Sustainable development is the word that came into vogue recently. Development is generally defined as the process whereby a community, region or nation improves its economic position by increasing the quantity and quality of products and services available. Tourism development can be measured in the context of job creation, income growth and also improve the availability of basic services such as health, education and cultural opportunities as well as reducing levels of inequality.<sup>550</sup>

### 2.1 Theoretical Concept Of Tourism

Tourism can be defined as "a multidimensional industry, comprehensive, multi sector and profit-oriented activity".<sup>551</sup> It touches many lives and different economic activities. There is no universal definition to define tourism. However, scholars generally agree that this term should be considered between the two dimensions of *demand* and *supply*.<sup>552</sup>

<sup>549</sup> Delia, P., Andrea, M-P., 2008, "Sustainable Development of Transport Service as an important part of the Tourism Service" p.388.

<sup>550</sup> Gilberto Ricardo 2004, Sustainable Tourism Development: A case study of Bazaruto Island, Mozambique

<sup>551</sup> Bryman A & Cramer D 1999, WTO Guide For Local Authorities on Sustainable Tourism Development

<sup>552</sup> [http://en.wikipedia.org/wiki/Supply\\_and\\_demand](http://en.wikipedia.org/wiki/Supply_and_demand), last seen on 27.03.2013

According to the World Tourism Organization, conceptually and in relation to demand, tourism is "the activity of people who travel and stay in a place outside their usual environment for not more than one year for entertainment and other business purposes."<sup>553</sup> "The concept of "Tourist" itself includes all types of travelers including the typical family vacation. When friends or relatives from distant places come to visit, they normally are considered tourists. As well as travelers who travel for business and spend the night outside their dwelling communities are considered tourists. The tourism industry is established as a result of interaction between businesses, organizations and tourism or economic activities. It presents some key components of which this article will focus mainly on tourism infrastructure.

Tourism has social impacts on countries. Its positive impacts upon the social development and modernization of host societies arise from its contributions, *inter alia*, to employment creation and development of small and medium-sized enterprises. However, there are a number of negative social impacts that can accompany tourism development in the developed and developing countries<sup>554</sup>. The main adverse impacts of tourism are connected to pressure on natural resources, harm to wildlife and habitats, the generation of pollution and wastes, and social and cultural pressure related to conservation and sustainable use of biological diversity.<sup>555</sup>

*Tourism infrastructure*<sup>556</sup> includes key elements such as roads, airports, seaports, railways, parking spaces, system of waste and sewage waters and electrical services, Gatwick and road signs and safety. This category also includes facilities created by the community which can be used in cases of organizing entertainment activities. The way how people arrive at a particular destination - and the elements that are available for them can have an impact on the attractiveness of the country by the visitors. If the infrastructure is not in the necessary standards and basic services have problems, tourists can go elsewhere.

## 2.2 Coastal And Maritime Tourism<sup>557</sup>

The economy of coastal countries is deeply connected with the sea, in particular the traditional sectors such as maritime transport, fisheries and coastal and marine tourism. The sea can be considered as a refuge for some of the most important treasures of the world heritage, including historic cities and virgin beaches, tourism is economically important for the Adriatic and Ionian coastal areas as one of the main marine activities and rapid growth in the region .

Coastal and maritime tourism plays a very important role in economic incomes of a country. Its further development can be channeled through the strengthening of links between coastal tourism and cultural promotion of transnational routes, addressing concerns by developing joint seasonal touristic offers / combined programs and the promoting of the image and profile of the region as a whole, strengthening the quality of services and products offered and improving the geographical distribution of the accommodation offers. Cultural heritage in the coastal zone and in the seabed is an important element in terms of tourism development and corporate identity and thus should be promoted.

By revealing the true potential for tourist development in the Adriatic and Ionian seas, promoting the economic growth and jobs for the coastal areas in the region, will require a consistent approach. The tourism activities have a significant impact on the environment on which they depend on. A long practice of developed countries has shown that intensive coastal tourism is usually followed by a negative impact on the marine environment. It can lead to pollution of the sea, if waste

<sup>553</sup> Cooper, Fletcher, Gilbert, Shepherd and Wanhill, 1998:8, WTO Guide For Local Authorities on Sustainable Tourism Development

<sup>554</sup> UNESCO, Commission on Sustainable Development, 7th session 1999 "Tourism and Sustainable Development" Report of Secretary General E/CN.17/1999/5/Add.2 page 2.

<sup>555</sup> UNESCO, Commission on Sustainable Development, 7th session 1999 "Tourism and Environment Protection" Report of Secretary General E/CN.17/1999/5/Add.3 page 2.

<sup>556</sup> Seetah, B.; Juwahir, T D; Lamport, M.J., 2011 „Does infrastructure matter in Tourism Development“ University of Mauritius Research Journal, Volume 17

<sup>557</sup> For more on the European Commission Policies you can see [http://ec.europa.eu/commission\\_2010-2014/damanaki/headlines/speeches/2012/09/20120927\\_speech\\_en.htm](http://ec.europa.eu/commission_2010-2014/damanaki/headlines/speeches/2012/09/20120927_speech_en.htm)

water treatment plants do not have the capacity to handle all sewage and as a result, the discharge of a certain amount directly into the sea. It can endanger marine species and ecosystems. Coastal protection through beach nourishment instead of using protective barriers (due to their visual appeal) may have adverse environmental effects.

### 2.3 Measures For A Sustainable Development Of Tourism

"Sustainable development"<sup>558</sup>, when it is focused on people, means that it meets the needs of the present without compromising the ability of future generations to meet their needs without degrading based resources. Sustainable development means ensuring a better quality of life for everyone, now and for future generations.<sup>559</sup>

In the context of tourism, the resource problems are not environmental problems, they are usually problems created by man.<sup>560</sup> For this reason, the community participation is crucial for sustainable tourism. The basic principles that govern sustainability are: planning and acting strategically; importance of the protection of fundamental economic processes; and the need to preserve biodiversity. "Sustainable development of tourism means the fulfillment of the needs of tourists and visitors while protecting the opportunities for expansion of future generations intended to reduce the tensions and conflicts arising from the complex interaction between the tourism industry, visitors and the local community, aiming at excellence in the management of all resources in a way that can meet the social and economic needs while maintaining cultural integrity, essential ecological processes, biological diversity and life support systems".<sup>561</sup>

Essentially, sustainability means that all environmental elements that are treated immediately and by an integrated relationship natural environment should be discussed under the context of the economic environment and not on sector basis.

### 3. Maritime Transport

Maritime transport worldwide has been and still remains to be a very important catalyst of economic development and economic progress of all coastal states. Maritime transport improves the trade and contacts between most of the European countries as well as increases the income of a state through the growth and development of tourism in the country. It ensures security and provides energy, food, goods, and also is one of the main carriers for passengers and tourists around the world. Maritime industries are an important source for the increasing of employment and incomes of the global economy.

In the "White Paper" on the European Transport Policy<sup>562</sup> the Commission predicted that there is about 40% of domestic demand for transport and maritime transport only could afford this. Commission also proposed the development of "Maritime Highway" as a true competitor of road transport. These highways became part of the Trans-European Network (TEN-T).<sup>563</sup>

#### 3.1 Legal Framework

Legal framework in the field of maritime includes all international and regional conventions laws and regulations that govern the legal, economic and social developments in the field of maritime, setting rules on rights and obligation of the entities and maritime activities, legal responsibility on the sea area with the main goal to facilitate passenger transport from the ports of other countries to ports in Europe and vice versa, as well as protection of the marine environment, which serves as one of the key components for attracting tourists during cruise ships operations.

If we would make a brief description of the determination how the maritime transport of passengers works, then we the first think it comes in the mind is the loading and unloading of the

<sup>558</sup> European Commission 2006 "*Methodological work on measuring the sustainable development of tourism*" page 5

<sup>559</sup> UN Definition on Sustainable Development

<sup>560</sup> Barton, 2000; *Sustainable Communities: The potential for eco-neighborhood* London: page 7; Hall CM & Lew AA 1998. *Sustainable Tourism: A Geographical Perspective*. New York: Longman. P. 3;

<sup>561</sup> Albanian Ministry of Tourism 2005, "*The Strategy and Action Plan for the Development of Cultural and Environmental Tourism*"

<sup>562</sup> [http://ec.europa.eu/transport/strategies/2011\\_white\\_paper\\_en.htm](http://ec.europa.eu/transport/strategies/2011_white_paper_en.htm) last time seen on 09.05.2012

<sup>563</sup> [http://en.wikipedia.org/wiki/Trans-European\\_Networks](http://en.wikipedia.org/wiki/Trans-European_Networks), seen on 09.05.2012

passengers traveling by ship. In this field there are two main components we should take in consideration: firstly, the meaning of word "ship", and secondly the meaning of word "port" Under the first component is important to mention two main regulatory framework; the development and improvement of the legal framework in the field of maritime environmental protection from ships; and, what is more important the enforcement of maritime safety and security. Without the necessary safety and security measure there is neither clean marine environment nor sustainable tourism.

Maritime transport would be considered as a serious threat to the marine environment and the marine environment is one of the key elements in attracting tourists. Protection of the marine environment is a hot topic in the focus of global organizations, the importance of which is increasing very fast. It is not the fact that the marine environment is vulnerable to pollution, but because of the dependence of human society from the marine environment. Pollution of the marine environment threatens many interests of society in various fields ranging from human existence to recreation including tourism.<sup>564</sup>

In a macroeconomic perspective, marine pollution directly threatens the tourism as one of the major sources of gross domestic incomes of different states from which these countries are directly depending on. A clean environment ensures efficient use of sand and sun, various marine water activities like diving, rowing, pleasure surfing etc.

The legal framework for the protection of the marine environment from pollution has its origins "thanks" to the 1967 disaster when the ship called the "*Torrey Canyon*"<sup>565</sup> collided and sank near the coast of England, resulting in spilling into the sea of a very large quantity of oil and diverted the attention of the entire community in the field of maritime tourism in that area for a very long period.

For this reason, it came out the necessity to develop a legal framework for the protection of the marine environment. Immediately the international legal framework was established and developed with the aim to protect the marine environment from pollution, and is mainly based on International Conventions that have the origin from the United Nations Convention on the Law of the Sea (UNCLOS) in 1982 that is also called "Constitution of the Seas". This convention was ratified from 161 parties, including 135 coastal states and sets out the legal framework within which all activities in the seas and oceans must be carried out. In Chapter XII, the Convention regulates the relations of the States Parties to the Convention for the prevention, reduction and control of pollution of the marine environment.

Provisions of UNCLOS were followed and complemented by other International Conventions of International Maritime Organization (IMO). Conventions focused primarily on determining the obligations of States to take measures for the prevention of sea pollution, termination and reduction of consequences and sea damage such conventions are MARPOL 73-78<sup>566</sup>, Barcelona Convention<sup>567</sup>, OPRC1990<sup>568</sup>, and BWM Convention 2004<sup>569</sup>.

To achieve the growth of transport and the number of tourists traveling with ships is very important to ensure the safety of life and the comfort of the passengers on ships and in ports or port facilities. To this end, the international legal framework in the field of maritime security, especially after the Sept. 11 terrorist attacks was enforced significantly. In this area cannot leave without mentioning the three most important conventions as the "United Nations Convention on the Law of the Sea 1982"<sup>570</sup>, the Convention on "Suppression of Unlawful Acts against the Safety of Maritime Navigation (SUA Convention)"<sup>571</sup> and what is more important SOLAS International Convention 74-

<sup>564</sup> Churchill, R.R and Lowe A.V "*The Law of the Sea*" Third Edition, Manchester University Press 1999, page 328

<sup>565</sup> [http://en.wikipedia.org/wiki/Torrey\\_Canyon\\_oil\\_spill](http://en.wikipedia.org/wiki/Torrey_Canyon_oil_spill), last seen on 09.09.2012

<sup>566</sup> International Convention for the Prevention of Pollution from Ships 1973 as modified by the Protocol of 1978 (MARPOL) '73-79. It contains 6 Annexes with preventing different form of marine pollution from ships.

<sup>567</sup> Barcelona Convention for Protection against Pollution in the Mediterranean Sea 1976. It is a regional convention to prevent and abate pollution from ships aircraft and land based sources in the Mediterranean Sea.

<sup>568</sup> International Convention on Oil Pollution Preparedness, Response and Co-operation (OPRC) 1990. This convention establishes measures for dealing with marine oil pollution incidents nationally and in cooperation with other countries.

<sup>569</sup> International Convention for the Control and Management of Ship's Ballast Water and Sediments (BWM)2004

<sup>570</sup> United Nations Convention on the Law Of the Sea (UNCLOS) 1982"

<sup>571</sup> IMO Convention for the Suppression of Unlawful Acts Against the Safety of Marine Navigation (SUA Convention) 1988". The Convention ensure the appropriate actions against persons committing unlawful acts against ships.

78<sup>572</sup> which along with the two codes "ISM Code (International Safety Management)" and "ISPS Code (Ship and Port Facilities Security)" has the aim to define the criteria and conditions of safety of human life, goods and national business.

Regarding safety and security in ports and port facilities there is a significant reinforcement of the legal framework as well as strict implementation of legislation in this area, as well as continuously work in consolidating the activities of the sectors of Port State Control and Flag State Control who are an integral part of the Maritime Administration and who are the main subjects for the implementation of criteria for admission to the Memorandum of Understanding.

#### **4. Maritime Infrastructure**

One of the elements of maritime transport to be effective for the growth and development of tourism is very important the development of the infrastructure. Maritime infrastructure includes all ports and port facilities serving for embarking and landing of passengers from ship to land and vice versa. Infrastructure is the main basis for the functioning of the transport chain, which starts in the sea and continues with the intermodal transport with other types of transport such as road, rail or air, including service on the free movement of people.

#### **5. Sustainable Development**

Sustainability in the development of maritime transport is a notion that has recently started and is becoming more and more important for all countries. Moving of maritime transport to a much cleaner environment has been one of the most debated issues in recent times. The elements mentioned above as maritime security and environmental protections are not the only issues related to the development of tourism. What it is necessary is the determination of a wide range of instruments which affect the sustainable development of transport. Starting with the consumption of fuel from ships, the emission of gases, best use of other energy sources, the use of economic and environmental technology recycling etc..

According to the studies, research and statistics of EU it results that there is still a very big difference between the ideal use provided by the "White Paper on Transport"<sup>573</sup> and the current situation of use of the above fields. According to the letter it is necessary to reduce up to 60% of emission of harmful gases by 2050, and it requires further attention. Reducing the emissions, finding and implementing alternative ways of management and recycling are causing more and more debates between business sectors. The sectors are not implementing very positive policies to strengthen environmental liabilities in the industry and particularly in the regional context, but I join the opinion that different industries need to work to further improve their environmental performance.

Another important factor in the sustainability of transport is the possibility to enter into dynamic competitive relations within the business. Given that maritime transport is characterized by a competitive environment which usually goes beyond national borders, the conditions for business improvement should be seen in a wider perspective. Conditions for economic growth and in particular the tourism sector as well as the development of marine business segments should be considered on top of the interests of the business sector. This includes uniform interpretation of national and European legislation on free competition. In this area, businesses are having a rapid growth also some segments as maritime tourism, yachting and shipping industry which are considered as potential opportunities to further strengthen the business sector in the Mediterranean countries and the EU.

#### **6. Conclusion**

Adriatic and Ionian seas contain many important marine ecosystems. Their natural beauty and diversity make them desirable tourist destinations. Recently in the marine and coastal environment has evolved a high diversity of habitats and species, including a substantial portion of endemic elements which can be considered as an element and a tourism attraction use to increase revenue by marine businesses and the state in general.

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<sup>572</sup> International Convention for the Safety Of Life At Sea (SOLAS) 74-78

<sup>573</sup> [http://ec.europa.eu/transport/themes/strategies/2011\\_white\\_paper\\_en.htm](http://ec.europa.eu/transport/themes/strategies/2011_white_paper_en.htm) last seen on 10.09.2012

The protection of tourism requires a joint assessment of needs and activities related to the sea in the Adriatic and Ionian area and requires the need to establish a framework to move towards a coherent and common marine environment creating the basis for determining the actions toward sustainable economy and joint initiatives to address these challenges and opportunities with a transnational dimension that cannot be solved by individual countries. Increasing cooperation is expected to generate growth of employment through innovation, contributing to a sustainable and comprehensive economy as required by the Europe 2020<sup>574</sup> strategy by using the seas and coastline. Also there is a need to create appropriate conditions for economic growth based on long terms on sustainable activities and effective shipping and fishing, by improving the status of the marine environment and a safer maritime space.

For the impact of maritime transport to be more positive for the tourism is necessary to establish and strengthen the cooperation based on some very important aspects which are: growth and perfection of Blue Economy<sup>575</sup> which consists in increasing the interaction between Adriatic and Ionian coastal countries, by developing an integrated network of shipping for all the macro-region, ensuring the sustainability of maritime transport and tourism adequately protected marine and coastal environment, enhancing quality and improving the geographical distribution of accommodation and creating opportunities for new jobs through the development and innovation in aquaculture and mariculture.

Another area of sustainable development is the improvement of cooperation and coordination towards a healthy marine environment, encouraging the use of sustainable and integrated maritime and coastal zone management taking into account ecosystem services.

Creating a cleaner and safer maritime space, and maximizing the use of maritime tourism stands as an important pillar and as a fundamental prerequisite for the development of economic activities such as tourism and transportation and a guarantee for effective commercial and social connection throughout the region by identifying potential threats pointed out and by improving the implementation of Directive 1999/35/EC<sup>576</sup> on the controls required for safe operation of Ro-Ro ferry service and high-speed passenger transport.

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## THE PERCEIVED IMAGE OF BARCELONA BY SHORT BREAK TOURISTS

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### Abstract:

During last years research in tourism has put especial attention to tourist image as a factor that influences consumer behaviour. At the same time, previous research confirms that length of stay also is influenced by tourist image. Considering the differences between short break tourists and long stay tourist, and the new city tourism trends; this paper aims to analyse city break tourists considering three variables: tourists' profile, motivation and perceived image. Barcelona was the destination used as a case study for this explorative research. Findings reveal a classification of three kinds of city break tourists based on socio-economic variables, identifying some substantial differences in their motivations and perceived image of the destination. Although limitations of this study are linked to their explorative character, some future research lines are proposed.

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**Key Words:** Short Break, Perceived Image, Consumer Behaviour, Barcelona

### Introduction:

Numerous academics, especially from marketing discipline, paid attention to consumer behaviour and variables that affect it. Within tourism field the analysis of tourist behaviour is also an issue extendedly analysed (Baloglu, 1997; Bigne, Sanchez and Andreu, 2009; Garner, 1993; Mazanec, 1983; Manente, Minghetti and Costa, 1996; Woodside and Lysonski, 1989), not only by the point of view of marketing, but also from other disciplines such as economics, anthropology, or sociology, among others. Gunn (1972) with her seminal contribution through the model of the seven stages of tourist experience brought to light the narrow relationship between the tourist behaviour and its influence on the tourism image of the destination.

Moreover, a destination usually has as basis of its image its territorial identity. A territorial identity that usually is not perceived properly by tourists helping to increase the gap between the destination identity and the tourism perceived image. The gap is produced because "there are numerous internal and external perceptions of the territory – that is, different ways to regard it and different forms in which it is regarded" (Neto, 2007:238). Several of these forms to be regarded are the different tourist's glances, linked to their behaviour as tourist consumers of a destination. This generates the global perceived image of a destination. Due to the complexity of that global perceived image, especially in big and varied destinations like cities, a proper way to analyse it is to break the consumers into segments, and analyse deeply the behaviour of each segment in order to find out the perceived image of it.

Linked to this context and trying to find out a possible segment to analyse, one of the research lines that gained power within the tourist consumer behaviour field insisted in defining the existing behaviour differences between short break tourists and long break tourists (Edgar et al 1994; Edgar, 1997). Even so, some of them just extrapolated these differences to the different profile of both segments.

Furthermore, the appearance of the relationship between short breaks and city tourism, generating the new term of short city breaks created extra shadows to the consumer behaviour theories. In our opinion, the categorization of tourism attractions proposed by Shoval and Raveh

(2003) and the compatibility or incompatibility of these attractions described by Weinfeld et al. (2009) can help to give light to relevant questions of consumer behaviour. For instance, the number of first level attractions linked to the possibilities to return of short breakers, or the level of specialization of cities in terms of image, linked to the exercised attraction of these short break segments.

Considering the increase of short city breaks in Europe, thanks in part to the change on the consumer behavior, as well as the vast development of low cost airlines, Barcelona it's a perfect target for the analysis of short city break consumer behavior, as well as their image perception of a destination.

Taking into account gaps in academic literature, the aim of this research is to analyse the profile of short break tourists, assuming that short break tourist is a heterogeneous segment, where different profiles can be identified. Hypothesising about these differences short break tourists profiles influence, on the one hand, different travel motivations and consequently on the other hand, different perceived image of the same destination.

### **Methodology:**

In order to attain the aims of this study an exploratory research was carried out. An exploratory research is appropriate when the researcher is searching evidence about the general nature of a problem, the various existing alternatives and the main variables to be considered (Aaker & Day, 1989). In our case, we used this exploratory research to isolate key variables (short break tourists profile, motivations and perceived image) and connexions among these variables for future research.

Barcelona was chosen as the study site to carry out this research. Barcelona is an important tourism destination for its cultural and architectural attractiveness, receiving around 7.1 million of tourists in 2010. During last years, Barcelona has been postulated as a relevant business centre, being the second city of the world in the International Congress & Convention Association Ranking (ICCA, 2007) in terms of number of participants and the fourth in terms of number of meetings. The 1992 Olympic Games have contributed positively to Barcelona's urban regeneration and positioning in the collective imagery over the world, becoming the third European city in The City Brand Barometer, after Paris and London (Saffon Consultants, 2007).

Data collection was carried out during weekends of December 2009, through a face-to-face questionnaire in front of the Sagrada Família. This place, being a first level attraction of Barcelona, was chosen because of its capacity to attract tourists with 2.7 million of visitors in 2008 is the first tourism spot (BTB, 2010), being the most interesting focal point to collect data, and taking into account that tourists and specially short breakers will visit firstly the top spots of the destination (Weinfeld et al, 2009). The final sample was configured by 100 individuals (Table 1) that stay in the city for a short period of time, following the definition of short break tourists (Edgar, 1997). The sample was calculated considering a sampling error of +/-10% and a confidence interval of 95% where  $p = q = 0.5$ . Although, the sampling error is high, it was considered appropriate considering the exploratory character of this research.

**Table 1: Sample characteristics**

<b>Variables</b>	<b>%</b>
<b>Gender</b>	
Male	53.00
Female	47.00
Total	100.00
<b>Age in intervals</b>	
Until 19 years old	1.00
From 20 to 29 years old	46.00
From 30 to 39 years old	30.00
From 40 to 49 years	9.00

old	
From 50 to 59 years	
old	13.00
60 years old and more	1.00
Total	100.00

<b>Marital status</b>	
Single	50.00
Single with partner	10.00
Married	34.00
Divorced	2.00
Separated	4.00
Total	10.00

<b>Education</b>	
University degree	76.00
High school	23.00
Primary school	1.00
Total	100.00

<b>Occupation</b>	
Student	21.00
Retired	4.00
Freelance	25.00
Employee	48.00
Other	2.00
Total	100.00

<b>Income</b>	
Less than 1000€	24.00
From 1000€to 1999€	40.00
From 2000€to 3499€	11.00
More than 3500€	21.00
Total	96.00
Lost values	4.00
	100.00

In order to achieve the aims of this paper, three aspects have been analysed: tourists' profile, motivation to travel to Barcelona and perceived image in situ. First of all, to analyse tourists' profile a cluster analysis was conducted, consisting in a multivariate technique of classification that aims at grouping data in a reduced number of clusters and groups that have to be mutually exclusive (Cea, 2004). The chosen algorithm of classification was Ward's method.

Secondly, to analyse tourists' motivation, a descriptive statistics was used to find the global tendency, but after that an analysis of dependence between short break tourists' profile and tourists' motivations variables was carried out. The statistic used to analyse inter-dependence between tourists' profile and tourists' motivations was "V of Cramer", which indicate if exist any relationship between two qualitative variables and to what extent this relationship exists.

Finally, the perceived image in situ was analysed using nine items that have been measured through a likert-scale of 5 points by tourists during interviews. Thus, after to analyse the results using descriptive statistics, an analysis of dependence among short break tourists' profile and valued items of perceived image was carried out. In this case was pertinent to use an analysis of the variance (ANOVA), because perceived image variables were quantitative.

### Findings:

Firstly, visitors' profile has been analysed using a cluster analysis method, examining results by two, three, four and five groups. A total of six variables have been included in the model (gender, age, marital status, education, occupation and income), although gender was excluded because of p-value was higher than 0.05. Considering association measures, marital status, income and age are the variables with a higher eta squared, being the most influencing variables in the model.

From cluster analysis outcomes, results by three clusters were the most successful option to explain the profile of short break visitors. Such as we can observe in Table 2, group 1 is characterized by what we called our middle-agers, single or with partner, and their level of education is a university degree. They are freelance or employees and usually they have an income from 1 000€ to 1 999€ per month. Group 2 is characterized by this sample seniors people, usually married. In addition, these individuals generally have a high level of education with a university degree, and are freelance or employees. Their incomes are 2 000€ or above per month. Finally, group 3 is characterised by this sample youngest, which commonly are single, with a high school education level and studying to get a university degree. Their level of income is low, receiving, in general, less than 1 000€ per month.

**Table 2: Short break tourists' profiles**

<b>Variables</b>	<b>1 (Middle-agers)</b>	<b>2 (seniors)</b>	<b>3 (youngest)</b>	<b>Total</b>
Age	28,13	42,54	22,44	32,80
Marital status	1,30	3,02	1,00	1,96
Education	1,00	1,10	1,76	1,24
Occupation	3,80	3,46	1,48	3,05
Income	1,97	3,24	1,16	2,30

Initially, we focussed on the findings related to tourist's motivations. In general terms, Barcelona's short break visitors are motivated by specific tourism attractions (39%) or modernism (33%). In this sense, the heritage of the city is the main tourist attractor, although the visit of friends and relatives (22%), and Barcelona's nightlife (18%) are also important.

A relevant element to highlight is the great amount of tourists (22%) that have mentioned recommendation received as a motivational factor to visit Barcelona. This issue can explain two related facts: On the one hand, tourists who recommend Barcelona have experienced a positive stay and consequently a positive tourist image, being the main reasons why they recommend to other tourists visiting Barcelona. On the other hand, there exist a great number of tourists who are influenced by other tourists who have been previously in Barcelona. This situation is well documented by previous research, where is demonstrated that recommendations received from others influence both perceived tourist image (Baloglu & McCleary, 1999; Bigné et al, 2009) and tourist behaviour (Lee, 2009).

It is interesting to see that a 15% of visitors have been motivated by previous visits to the city, meaning mainly that they actually have not got enough time previously to visit all the main attractions of the city. This lets us to deduce that they probably came preciously as short breakers as well. In addition, the existence of previous visits also notes a high level of satisfaction of previous visits and a positive tourist image that influence subsequent behaviours.

**Table 3: Motives to visit Barcelona**

<b>Variable</b>	<b>%</b>
Tourism attractions	39
Modernism	33
Visit to friends and relatives	22
Recommendations	22
Nightlife	18

Previous visits	15
Proximity	8
Business	7
Climate	7
Mice	4
Shopping	4
Gastronomy	3
Price	3
Others	20

Trying to analyse more in depth the relationship between tourists' motivation to visit Barcelona and short break tourists' profile, an analysis of dependence has been used. Considering that both variables (tourists' motives and cluster results by 3 groups) are qualitative, it has been calculated the statistic V-Cramer, which indicates if a relationship between qualitative variables exist and to what extent this relationship exists. According to results (Table 3), only "tourism attractions", "modernism" and "nightlife" have a positive relationship. The higher p-value of other variables indicates that do not exist a relationship between short break tourists' profile and motivations to visit Barcelona. In this sense, we can think that do not exist substantial differences between motivations between short break tourists and long stay tourists.

However, considering variables with positive relationship to short break tourists, we can observe that middle-agers tourists are mainly motivated by tourism attractions that Barcelona can offer in general terms; while seniors tourists are especially interested by modernism. In this sense, Gaudí's sites (Sagrada Família, La Pedrera, Güell park, etc.) are postulated as the main attractions to be visited by this kind of tourists. Finally, the youngest, which are usually students such as we pointed out above, are mostly motivated by Barcelona's nightlife, this means, that they are interested on pubs, discos and concert areas.

**Table 3: Dependence analysis among tourists' profile (cluster) and tourists' motivations**

Variables	V-Cramer	P-value
Tourism attractions * tourists' profile	0.468	0.000
Modernism * tourists' profile	0.352	0.003
Visit to friends and relatives * tourists' profile	0.121	0.497
Recommendations * tourists' profile	0.242	0.061
Previous visits * tourists' profile	0.111	0.555
Climate * tourists' profile	0.144	0.372
Gastronomy * tourists' profile	0.113	0.541
Proximity * tourists' profile	0.079	0.739
Nightlife * tourists' profile	0.296	0.015
Price * tourists' profile	0.123	0.485
Shopping * tourists' profile	0.243	0.059
Business * tourists' profile	0.163	0.279
Mice * tourists' profile	0.033	0.948
Others * tourists' profile	0.202	0.141

Finally, the findings related to the perceived image initially have considered nine variables. Table 4 shows that in general perceived image of short break tourist in Barcelona is positive, considering that means are from 3.19 and 4.54, although almost all have received some low values.

Particularly, we can observe that the best valued items are "tourism attractions", "local culture and authenticity", and "transportation facilities". However, "cleanness" and "safety" are critical points of the city, considering a high standard deviation in both variables, as can be observed in Table 4. In addition, this opinion is also reinforced in an open question, where individuals were instead to

determine three positive and three negative elements of the city. The tourists' answers remark Gaudi's heritage as positive item of the city and the need of more safety and cleanness as negative items

**Table 4: Tourists' perceived image**

Variables	Valid	Lost values	Mean	St. Dev.	Minimum	Maximum
Very pleasant weather	100	0	3,55	0,947	1	5
Tourism attractions	100	0	4,54	0,688	2	5
Local culture and authenticity	99	1	4,48	0,825	1	5
Good gastronomy and wines	99	1	3,92	0,997	1	5
Accommodation	76	24	4,00	0,909	1	5
Transportation facilities	100	0	4,21	0,998	2	5
Good price-quality relationship	100	0	3,46	0,834	1	5
Cleanness	100	0	3,82	1,077	1	5
Safety	100	0	3,19	1,261	1	5

Key: 1 very negative and 5 very positive

Additionally, analyzing the influence of short break tourists' profile in perceived image of Barcelona, we found a positive relationship between some of these variables. In particular, in Table 5 we can observe that variables "local culture and authenticity", "good gastronomy and wines" and "good price-quality relationship" have a p-value lower than 0.05, indicating that it exist some relationship between short break tourists' profile and these perceived image items. The results related to other variables shows that it does not exist a relationship between how they perceive Barcelona and the cluster where they belong.

At the same time, we have to say that these three variables ("local culture and authenticity", "good gastronomy and wines" and "good price-quality relationship"), although have a positive relationship with short break tourists' profile, actually they have a lower power to explain tourists' behaviour as it is indicated by low values of squared eta (Table 6). However, some tendencies can be observed. Firstly, senior tourists are those who value more positively and above average the variable "local culture and authenticity". Secondly, in the case of "good gastronomy" in general is well valued, except by young tourists who tend to give low punctuations to this item. This situation can be explained by the low purchasing power of this group of tourists, who try to travel with a low budget, and therefore, they spend less for food choosing low cost restaurants and/or fast food restaurants. But none of these restaurants offer a quality local cuisine. Finally, related to the variable "good price-quality relationship", the 90% of middle-aged tourists gave a punctuation of 3 or 4 to this item. Although the tendency is similar in the other group of visitors, we can observe that senior tourists tend to value this item more positively giving the maximum punctuation in the 17.07% of cases; and opposite to this situation is the case of young tourists who tend to give a punctuation of 2 in the 24% of cases. This situation can be explained by the difference of purchasing power of tourists included in each one of the short break tourists.

**Table 5: Analysis of variance (ANOVA)**

Variables	Sum of squares	gl.	Sq. mean	F	P-value
Very pleasant weather * Ward Method	0,922	2	0,461	0,520	0,596
Tourism attraction * Ward Method	2,218	2	1,109	2,361	0,100
Local culture and authenticity * Ward Method	6,204	2	3,102	4,803	0,010
Good gastronomy and wines * Ward Method	8,323	2	4,161	4,461	0,014
Accommodation * Ward Method	3,742	2	1,871	2,297	0,108
Transportation facilities * Ward Method	0,074	2	0,037	0,036	0,965

Good price-quality relationship * Ward					
Method	10,728	2	5,364	9,365	0,000
Cleanness * Ward Method	0,018	2	0,009	0,008	0,992
Safety * Ward Method	0,019	2	0,010	0,006	0,994

**Table 6: Association measures**

<b>Variables</b>	<b>Eta</b>	<b>Eta Square</b>
Very pleasant weather * Ward Method	0,105	0,011
Tourist attraction * Ward Method	0,220	0,048
Local culture and authenticity * Ward		
Method	0,307	0,095
Good gastronomy and wines * Ward Method	0,297	0,088
Accommodation * Ward Method	0,250	0,062
Transportation facilities * Ward Method	0,028	0,001
Good price-quality relationship * Ward		
Method	0,409	0,168
Cleanness * Ward Method	0,013	0,000
Safety * Ward Method	0,011	0,000

**Conclusion:**

In this study short break tourists profile has been analysed. As seen from the review of academic literature, previous research about this topic is limited to compare short break tourists and long break tourists. It is for this reason that this exploratory research aimed to identify short break tourist profiles, and at the same time, seeking differences in travel motivation and perceived image that allow better understanding of this segment.

From this exploratory research some relevant issues are highlighted. Firstly, it is demonstrated the heterogeneity of short break tourists detecting three different profiles (young tourists, middle-age tourists and senior tourists) based on socio-economic variables (age, marital status, education, occupation and income).

In addition, according to the hypothesis that different tourist profiles in short break tourists imply different motivations, we found that there are three variables that explain in part motivations of each detected profile. In particular, senior tourists are mainly motivated by modernism; middle-age tourists are motivated by tourism attractions that offer the city in general; and young people are motivated by nightlife of Barcelona. This data put forward three different ways to consume the short city break, prioritizing different attractions of the city.

Considering image perception variables, generally experience has been positive. In particular, short break tourists value positively tourism attractions, the local culture and authenticity of the city, and transportation facilities, among other items. However, some short break tourists consider that Barcelona is not enough clean nor safety. Regarding relationship between short break tourist profile and image perception variables we found a low positive relationship between short break tourist profiles and “local culture and authenticity”, “good gastronomy” and “good price-quality relationship”. Obtained results suggest that travel budget used for a short break have consequences in tourist image perception in situ, as well as the level of tourist product quality.

At the same time, findings have also validated the power of recommendations as a motivational factor for short break tourists in general. Recommendations have the capacity to influence decision-making of tourists and, thus their consumer behaviour. Maybe this is a factor more present in short break trips than long break trips, considering firstly that a long break trips need a more reflexive buy; and secondly, if the visited place is in fashion, usually people who have visited previously the place encourage strongly to other potential tourists to travel to the destination. However, further research is needed in order to examine this issue deeply.

In summary, the detection of these three different profiles and the existence of different motivations among them, as well as image perception, suggest differences in tourism consumption of

tourism products of the destination. However, we have to take these results as preliminary, considering the explorative character of this study, which have used a limited sample.

Is important to remark the limitations this paper has. Firstly, because of being an exploratory analysis the amount of interviews is not wide enough to extract complete conclusions but approximate ones. Furthermore, the existence of lost values is due to responder's skipped questions, so this minor the figures in some variables, influencing the final results.

It is important to reinforce that the sample is representative for the short breakers visiting Barcelona during December. This leads us to the second limitation regarding the segment sample because only taken December obliged us to dismiss holiday seasons where families can appear, or summer when motivations like sun & beach can also be present. Is possible to compare the results of the paper and the results of official statistics regarding the segments and these are the main differences, so this helps us also to understand that our sample even if limited is not biased.

In our opinion there are two main ways to do further research. Firstly all the development that can be done through the short breaker consumer behavior profile, and secondly the further research about the image perception topic.

Related to the first group, and since this paper presented a preliminary research, obviously our idea is to improve the questionnaire and obtain more data in order to contrast our conclusions. Since Barcelona is visited during the whole year the survey must be conducted during a whole year round, in order to really have the profile and behavior of Barcelona short breakers.

The whole year survey also can reveal different patterns according to motivations so a further step can be to conduct the analysis within a segment. For instance cultural tourists, vocational tourists, sport tourists, or even business tourists can be specific segment with specific behavior for short stays.

Taking another topic as option can be of interest to check separately the cluster groups that appeared in the present survey, so increasing the number of interviews in each segment to make them representative enough. This can help to better link each group with their motivations and their particular behaviors that were limited in the present research. At the same time can be interesting to analyze differences between tourists that have been previously to the destination and first visit tourists.

The second group of future research possibilities generates another perspective about image perception. Initially we can extract from each cluster how they knew about the destination before they decided to come, and afterwards to check with a bigger database is the image perception matched or not with their previous one during their visit.

It is also possible to find out more about the relationship between each cluster segment and the impact produced on them with the information elements before the visit. For instance, is internet the most influential media on them in order to decide? And if so, the young cluster prefers social media like Tripadvisor or blogs, and the oldest cluster on-line travel agencies or Official websites? And who they trust the most in terms of information?

Finally, the use of different kinds of support during the visit can influence the tourists as well, so it exist also the option of finding out the influence on image perception that elements such as travel guides, tourism offices, or official leaflets have on them.

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## **FINDING ENTREPRENEURSHIP IN STUDENTS: A CASE STUDY ON THE GRADUATION OF TOURISM IN AZORES UNIVERSITY**

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### **Abstract:**

Sometimes the student only needs the teacher fires the spark that ignites a whole new set of ideas and will to do something different, giving their own contribution to the development of new concepts in knowledge.

The author in this article shows how a simple discipline of Informatics for Tourism, with sometimes boring concepts to the students, with a scheduled change toward the application in Tourism changed the motivation and helped to implemented team work and development of new ideas in tourism in Azores. This results intend to be a beacon, and an help to improve the techniques of teaching, showing that indeed the student have a lot potential inside and they have the power to develop new ideas. They need only need a small push on the right direction.

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**Key Words:** Entrepreneurship, case study, tourism

### **Introdução**

No desenvolvimento de ideias referentes à construção de novas empresas na área do turismo nas ilhas açorianas, o empreendedor, enquanto estudante, por vezes, só precisa de um pequeno empurrão e encorajamento por parte dos seus professores. Este impulso dado pelos professores torna-se numa semente de motivação e encorajamento na construção de algo novo e competitivo.

Este artigo descreve, de forma resumida, uma experiência que decorre atualmente numa disciplina do currículo do curso de Turismo, designada por Informática para o Turismo, oferta letiva do Departamento de Economia e Gestão da Universidade dos Açores. Os resultados percentuais aqui apresentados têm como referência inquéritos efetuados aos alunos, pelo docente da disciplina, no final de cada semestre, bem como da análise transversal efetuada pelo docente aos inquéritos de avaliação interna do Departamento de Economia e Gestão da Universidade dos Açores efetuada na disciplina de Informática do Turismo.

Desde que começou esta experiência no ano de 2009, todos os estudantes que já passaram por esta disciplina, bem como os actuais mudaram a sua forma de ver o negócio do turismo na Região Autónoma dos Açores.

A exploração do turismo nas ilhas açorianas não está com um nível de desenvolvimento como o que podemos encontrar nas ilhas Madeirenses, ou até mesmo nas ilhas espanholas das Canárias, crescendo em passos pequenos, que tencionam tornar-se passos gigantes no futuro. A atual conjuntura do turismo, nas ilhas açorianas aponta para um crescimento sustentável e equilibrado com os recursos naturais. Para se conseguir este equilíbrio é necessário que o licenciado em Turismo seja bastante empreendedor, consiga gerir de forma eficiente a informação disponível, usando todas as ferramentas tecnológicas existentes, mas também que consiga gerir recursos humanos, naturais, sociais e económicos de uma forma bastante eficiente. Assim, o ensino deste tipo de licenciatura não pode ser idealizado de forma estanque e em compartimentos isolados, tendo necessariamente de existir uma interdisciplinaridade saudável e dinâmica entre todos os conteúdos existentes no currículo do curso.

### **A mudança curricular**

O curso de Turismo, antes do ano de 2009 estava ligado a uma Escola Superior imersa na estrutura organizativa da Universidade dos Açores, passando por um par de anos de indefinição

departamental, e após a extinção desta escola, a partir de 2011, passou a ser ministrado na Universidade dos Açores como componente da oferta letiva do Departamento de Economia e Gestão.

A disciplina de Informática para o Turismo sempre fez parte do currículo do curso de Turismo, como disciplina do 2º semestre do 1º ano, mas inicialmente resumia-se em termos programáticos a ensinar componentes extraídas do *Microsoft Office*, tais como *Word*, *Excel*, *Powerpoint* e *Access*. Os alunos nesta disciplina apenas aprendiam a trabalhar com o *software*, e o grosso dos exemplos, que resultavam em exercícios, eram completamente desfasados da realidade do curso. Ou seja, a perspectiva da disciplina era apenas em ser uma ferramenta, na qual os alunos até adquiriam bons conhecimentos, mas depois não sabiam o que fazer com a ferramenta e como podiam aplicá-la na sua área profissional.

Após o ano de 2009, o professor João Cabral, docente do Departamento de Matemática da Universidade dos Açores, quando ficou incumbido de lecionar esta disciplina, contando com alguma experiência na área do turismo, resolveu modificar significativamente a estrutura curricular da mesma, com o devido aval do diretor de curso e do diretor de departamento onde a licenciatura era parte da oferta letiva. Começou gradualmente a introduzir conteúdos diretamente relacionados com o turismo na Região Autónoma dos Açores e também introduziu um novo conteúdo muito importante, aproximando o currículo disciplinar aos outros cursos de Turismo oferecidos em outras Universidades de Portugal, que é a organização e gestão de informação. Obviamente, esta pequena mudança provocou uma reação bastante positiva por parte dos alunos, fazendo com que a sua motivação aumentasse no estudo dos conteúdos da disciplina bem como o grau de sucesso na avaliação final. No ano de 2010 introduziu-se também conceitos básicos na área do empreendedorismo, permitindo criar laços de interdisciplinaridade entre várias disciplinas do curso, assim como permitiu ao aluno estudar melhor as relações existentes no meio empresarial do turismo, relações que ainda vigoram no ano de 2013.

Em termos estruturais a disciplina de Informática para o Turismo atual utiliza como referência programas informáticos de processamento de texto, folha de cálculo, gestor de base de dados e de apresentação de informação, de modo a incutir no aluno a necessidade de organizar e gerir a informação de forma o mais eficiente possível. Toda a metodologia usada no processo de aprendizagem curricular está assente na dinâmica de grupos. Os alunos simulam a criação de um negócio na área do turismo, consolidando os processos de informação sob uma visão empreendedora.

Ao longo da evolução deste estudo, foi-se operando uma transformação nos processos de aprendizagem, sempre com a colaboração dos alunos, através de sugestões e de contribuições anotadas e comentadas pelos mesmos na reação às experiências realizadas, ao longo dos últimos quatro anos. Depois de toda a informação recolhida, organizada e trabalhada criou-se um perfil disciplinar que converge actualmente para os objetivos da aprendizagem da disciplina. Os alunos quando terminam o seu processo de aprendizagem sabem organizar e gerir informação, com o auxílio de tecnologias, no ramo do turismo; conhecem aspetos genéricos sobre sistemas operativos e ambientes de trabalho computacionais usados no turismo; sabem trabalhar com processadores de texto, folhas de cálculo, com sistemas de gestão de base de dados, canalizando a informação para áreas relativas ao turismo; possuem uma dinâmica de apresentação empresarial, usando recursos da área do Marketing e Gestão de Recursos e do domínio de línguas estrangeiras. No final desta dialéctica de aprendizagem os alunos assimilam bastantes noções de consolidação de processos de gestão de informação, adquirindo uma visão empreendedora, usando os recursos previamente adquiridos no 1º semestre do 1º ano do curso. Mas não se limitam apenas ao que já foi ministrado, pois a consolidação destes processos exige que o aluno pesquise e investigue áreas dos anos seguintes de formação, tendo oportunidade de contactar com futuros professores e empresários da área do turismo. Obviamente esta estratégia tem os seus riscos, mas até ao momento, os proveitos suplantam qualquer fator de risco existente. Apesar dos primeiros processos interdisciplinares serem concebidos com poucas bases, a maioria dos alunos, ao longo do percurso académico nos restantes anos, vai tendo oportunidade de ir amadurecendo os conceitos, alimentando a motivação na aprendizagem. Conforme informações recolhidas aos alunos finalistas do curso de Turismo, uma boa percentagem, cerca de 70%, argumenta que usou nas restantes disciplinas algumas das estratégias de desenvolvimento de processos trabalhadas na disciplina de Informática para o Turismo, o que por si só justifica a importância e a necessidade desta mudança curricular.

### **A dinâmica da disciplina**

A disciplina de Informática para o Turismo tem sempre início como a maioria das outras disciplinas, tendo por base uma estratégia expositiva, mas abrindo-se a base para o diálogo e discussão de ideias. Esta fase inicial permite aos alunos irem se conhecendo melhor em termos de capacidade de trabalho e argumentação na defesa de ideias. Logo após esta fase, os alunos escolhem os seus grupos de trabalho, nunca inferiores a quatro elementos, e é solicitado aos mesmos que comecem a trabalhar numa ideia original, ou baseada em algo existente, mas sempre com alguma componente original, que contribua de alguma forma para o desenvolvimento do turismo na Região Autónoma dos Açores. Os grupos, logo que tenham uma ideia definida, organizam-se em empresas, optando por um dos tipos de organização já existente, estudada preferencialmente na área de Gestão de Empresas. A partir deste momento, todo o processo de aprendizagem ocorre com o professor a lidar com os alunos com se de reais empresários se tratassem, quando estes têm de apresentar trabalhos nas aulas, ou discutir aspetos inerentes à área do turismo regional. Note-se que algumas das discussões até são realizadas usando a língua estrangeira de Inglês, de modo a que estes se vão sentindo cada vez mais à vontade com o domínio da língua, num ambiente de discussão e intercâmbio de ideias. Todos os grupos de alunos são dinamizados internamente, tomando por base as instruções de aprendizagem adquiridas na disciplina, como simulações de empresas de exploração de recursos turísticos.

Ao longo de todo o semestre, as aplicações de informática são introduzidas como ferramentas práticas na resolução de situações concretas na área do turismo. Os alunos têm oportunidade de sentir a necessidade de usar as ferramentas tecnológicas, derivadas da exploração do *software* explorado na sala de aula, quando tentam resolver o problema proposto pelo professor, enquadrados no perfil empresarial que eles próprios criaram, de forma coletiva. No final de cada resolução apresentada existe espaço para discussão e debate das várias soluções, criando um ambiente de partilha de informação entre todos os grupos. De modo a que a avaliação não fique cingida à coletiva, por imperativos regulamentares da Universidade dos Açores, são também lançados trabalhos individuais, também ligados à resolução de situações na área do turismo, de forma periódica, com prazos curtos de entrega, em que o aluno tem liberdade de exprimir, de forma individual, o seu conhecimento. Estes trabalhos são a força motriz de aprendizagem da disciplina. Por serem em grande quantidade, e muito frequentes, causam sempre uma reação inicial negativa por parte dos alunos, que chega a ser de 90% dos alunos matriculados, argumentando falta de tempo devido à elevada carga letiva do curso, mas no final do semestre são os alunos, com uma percentagem bastante considerável, cerca de 80%, a considerar que este processo obriga-os a saber trabalhar com ferramentas, que antes nem sabiam de sua existência, e a reconhecer a sua utilidade na área do turismo.

A ideia de negócio concebida pelos vários grupos tem dois momentos de apresentação. O primeiro momento é apenas uma apresentação escrita, onde cada grupo descreve a ideia e toda a estrutura empresarial que a suporta. Para criarem este documento os alunos contactam com colegas dos anos anteriores, cerca de 30%, com professores do curso de Turismo, cerca de 45%, com o Centro de Empreendedorismo da Universidade dos Açores, cerca de 25%, e até mesmo com empresas locais de dinamização turística, cerca de 50%. Existe sempre uma preocupação dominante em todos os trabalhos de apresentar conceitos de Recursos Humanos e Marketing, Gestão e Economia, de forma correta e até de apresentar parte do trabalho, usando uma língua estrangeira. O segundo momento de apresentação da ideia de negócio é uma apresentação pública a um grupo de convidados externos à disciplina, mas com ligações à área do turismo, professores e empresários, bem como público em geral e colegas da turma. Têm tido presença assídua nestas apresentações o representante do Centro de Empreendedorismo da Universidade dos Açores e o diretor de Curso de Turismo. Nesta segunda componente os grupos, já funcionando plenamente sob uma organização empresarial, encaram a assistência como sendo um conjunto de potenciais investidores no seu negócio, tendo por objetivo primário tentar captar investimento, esgrimindo da melhor forma possível a sua ideia, usando todos os recursos adquiridos e testados ao longo do semestre na disciplina de Informática para o Turismo, bem como recursos de outras disciplinas do seu currículo. A avaliação é assim concretizada, na sua maior parte, cerca de 75%, pela audiência, através da manifestação de interesse no investimento da ideia de

negócio proposta pelas empresas. A restante avaliação cinge-se à componente técnica, avaliada pelo professor, usada pelas empresas na evolução da apresentação.

### **Conclusão**

Através de observação direta efetuada pelo professor, e pela análise dos resultados atingidos, quantificados através dos inquéritos anuais submetidos aos alunos nestes últimos quatro anos da execução desta metodologia de *rolle-play and interpretation*, consegue-se depreender que esta forma de ensino possibilitou o alargamento da visão empreendedora do aluno, com respostas de satisfação à metodologia usada que rondam os 85% no nível de Excelente. Na avaliação interna realizada pelo Departamento de Economia e Gestão, a disciplina a nível global nunca teve mais do que 10% de níveis inferiores a Suficiente, alcançando sempre bons valores percentuais nos níveis Bom e Muito Bom.

Com a introdução dessa metodologia gerou-se uma motivação suplementar, de forma bastante simples e eficaz, conseguindo produzir nos alunos efeitos que possibilitaram a que estes conseguissem confrontar com maior optimismo as situações adversas que realmente surgem no terreno prático, quando tentam, após a licenciatura, criar o seu próprio negócio no ramo do turismo. Pelo menos dois grupos criados na disciplina em cada ano concorrem com as suas ideias de negócio, anualmente ao Concurso Nacional de Empreendedorismo, criado por uma entidade bancária nacional conjuntamente com o Centro de Empreendedorismo da Universidade dos Açores, tendo atingido sempre boas classificações.

No decorrer da evolução deste método outros professores do curso foram mostrando interesse nesta estratégia de ensino, colaborando e criando laços saudáveis de interdisciplinaridade com pontos comuns nos conteúdos lecionados e estratégias desenvolvidas na disciplina de Informática para o Turismo.

Com este artigo o autor espera ter contribuído, com a partilha desta experiência, para o crescimento do conjunto de técnicas motivacionais e interdisciplinares que podem ser usadas nas disciplinas universitárias dirigidas no sentido de apoiar a prospecção de alunos empreendedores que consigam dar rumos diferentes, originais e eficientes à economia regional na área do Turismo.

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## THE IMPACT OF ORGANIZATIONAL COMMITMENT ON KNOWLEDGE SHARING

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### **Abstract:**

The main purpose of this study is to determine the relationship between employees' knowledge sharings and commitment of the organization. For this purpose, a research has been done on a total of 537 employees who work in two private textile companies. Knowledge sharing in this study is defined as an activity which is mutual exchange knowledges such as information, talent or expertise within people, friends, family members, in a community or an organization. In accordance with this framework as the dimensions of knowledge sharing are treated as organizational and individual reasons that prevent knowledge sharing, individual and organizational results of knowledge sharing and finally individual and managerial perspectives in knowledge sharing. Organization commitment is treated as " individual's identification with organization, participation in activities of organization and display of willingness, desire and power of effort in these subjects. In this research dimensions of organizational commitment, emotional commitment, continuance commitment and normative commitment are investigated. As a result of the research it has been revealed that organizational commitment and especially emotional commitment have positive effect on the exchange of information. As a result of this, organizations use their current resources more efficiently, they provide being stable and loyal of employees by generating of intraorganizational knowledge sharing culture. Besides, it is provided that increasing and protection of organization's intellectual capital of employees by converting the knowledge of employees into organizational knowledge.

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**Key Words :** Knowledge, Knowledge Sharing, Organizational Commitment

### **Introduction**

Business organizations have to adapt current politics and create and apply new strategies in order to survive in today's intense competitive conditions. We may observe that, humans are the basis of this. Organizations are preparing for the future by improving and preserving their human resources. Setting out of the thought "Humans are the most crucial source in organizations to create value and difference", organizations must support their workers sufficiently and acknowledge their value.

Modern organizations struggle to have workforce with sufficient knowledge and ability and survive in this struggle by creating efficient learning opportunities with efficient management (Doğan and Demiral 2008). Thus, keeping the qualified worker is crucial since the works done in the organizations became more dependent on knowledge and less dependent on physical capabilities. Hence, if a worker quits, not only his/her physical capabilities are lost but also his/her knowledge and abilities. Replacing this person takes much more time and costs more since, new personnel should go through training process. Tekinay (2003) expresses that especially in knowledge dependent businesses and in some branches of manufacturing, it is important to not to lose staff. Organizations get hurt a lot when a staff is lost. If the cost of resigning and educating new skilled workers analysis contributed by Tekinay on Capital is evaluated on all the sectors; losing a blue collar personnel and signing a new one is more than %20-25 of the annual salary package. As for the white collars, this value increases to %100 or %150. In the management the cost is increased to %300.

As can be inferred, in order to gain and hold the stability and competition of advantages the business organizations have to keep their employees. Unless the knowledge possessed by the

employees and their experiences are transformed into organizational knowledge probable withdrawals are likely to engender great losses. In order to do this, organizational commitment is to be incurred among the employees so that the knowledge possessed by them can be shared.

### **Organizational Commitment and Formats**

Organizational commitment is conceptualized in various forms and tried to be measured. Researchers suggest that organizational commitment forms in two ways in the organizations. The first is the attitudinal commitment and the other is the behaviour commitment. The attitudinal commitment emerges from the relationships between the employee and the organization centres on what the employees think about their organization. According to Grusky (1966), attitudinal commitment represents the individual's identification with a specific organization and the organization's goals, his/her willingness to continue to work in the organization to facilitate reaching these goals and the employees' emotional commitment to a social system. Allen and Meyer's (1990) work revealed the differences in the attitudinal commitment definitions, developed a measure for each and showed that each and every one of these measures has different relationships with the previous works. Meyer and Allen (1991) treat organizational commitment in three groups; affective-emotional continuance and normative commitment. This mode of classification is still valid today and is still considered to be fundamental in the commitment studies.

**Emotional Commitment:** the most popular approach to the organizational commitment is the emotional commitment. It can simply be defined as strong sense of belonging to the organization and/or identification with the organization. "Cohesion Commitment" which is defined by Kanter (1968) as individuals' emotional investments is phrased by Buchanan as the emotional involvement or affiliation with the business organization's goals and targets. This, according to him is in a way a type of commitment for the sake of organization. On the other hand, it is defined by Porter and his colleagues as strong ties between the organization and the individual. Mowday and his colleagues ground emotional commitment on four factors namely, individual characteristics, work(ing) characteristics, work experience, anatomical/structural characteristics. The data obtained from the results of the studies on emotional commitment show that emotional commitment stems from work experiences (Allen and Meyer, 1990). Emotional commitment in its most general form can be described as sentimentally the individuals' willingness to stay at the business organization by their own will.

**Continuance Commitment:** According to Becker (1960) is a type of commitment which forms as a result of the cost that must be paid by the individual who discontinues his/her activities. The basic feature of this commitment which is defined by Kanter (1968) as the cognitive-continuance commitment is that it is correlated with gain in continuance and cost in discontinuance or withdrawal. The reason for the employees desired to stay in the organization is the sense of deprivation from the present/prospective salary gains, status, freedom and promotional opportunities. Becker grounds continuance commitment on two main factors: individual investments in the organization and the individuals perceived lack of alternatives. Employees cannot easily give up the investments they have made through their talents/knowledge, the time and energy they have spent and transfer to another organization. For this reason, they have the tendency to continue in their organizations. The other reason is that the individual has too little job alternatives and this reinforces continuance commitment. In general, continuance commitment is set to be the type of commitment which is engendered by the cost that must be paid by the employee in case of withdrawal from the organization.

**Normative Commitment:** The basis of this type of commitment is the benefits accomplished by the employees from the organization and his feeling of indebtedness, gratitude and respect to the organization in return for the reciprocal good relations that he/she developed with the organization (Seçkin 2011: 352). For Allen and Meyer (1990), the reason for employees continuing to work for the organization is his/her feeling of responsibility for the organization. According to Wiener (1982), the motivating factor behind reaching organizational goals and targets employees feeling of normativity and for the employee this feeling is moral and right. This is, under the influence of familial, cultural life, individual experiences and his/her identification with the organization the belief developed that it is right and morally appropriate for the employee to stay in the organization. The length of employees' stay in the organization affects the expected loyalty (i.e. the longer he/she work for the organization higher the expected loyalty).

Researchers consider commitment attitudinal (internal tendency, eagerness to maintain relationships) as well as behavioral (individual efforts reinforcing relationships). Behavioral commitment is considered as a commitment to comprise reciprocal interaction, effort and relational utility. Employees in the organizations demonstrate their tendencies and intentions to their colleagues via their behavior (Sharma, et al., 2001). In other words, behavioral commitment can also read as employees' claiming responsibility for the organization, taking part in solving the problems within the organization by sharing their knowledge and skills with the organization as well as with other employees, and the contributions made to the organization for minimizing costs and maximizing the profits. What underlies behavioral commitment is the creation of mutual objectives and values resulting from the integration of the organization and individual (Demirel, 2008).

### **Knowledge and Knowledge Sharing**

From past to present, society have gone through different eras. These are: Agriculture Society, Industry Society and Knowledge Society. The valid thing in agricultural society is to own land and physical labor. In industrial society, machines take the place of land and skilled workers take the place of physical labor. In the Knowledge Society which started to become influential from mid 20<sup>th</sup> century knowledge replaced the machines and "brain power" replaced skilled labour (Nazlı, 2004).

The fact that knowledge has become one of the greatest elements of competition has led the business organizations to utilize the knowledge possessed by their employees in the most effective and efficient manner. Besides, business organizations are striving to minimize the losses engendered by employees quitting job. These efforts may prove fruitful if commitment can be elicited among employees, (individual) knowledge can be transformed into organizational knowledge and if knowledge sharing can be secured among the employees. In the knowledge sharing, socialization and learning processes creation of new ideas among the employees and presenting new business ideas are fundamental to a living organization (Salim, et al., 2011). Accordingly, knowledge sharing is a process whereby information, skill or expertise is reciprocally exchanged among people, friends, members of family, community or organization (Wang, 2010).

Creation of a favorable work environment and securing high levels of trust among employees and employer-employee relationships are crucial factors in knowledge sharing (Kurtoğlu, 2007). In order to avoid losing the qualified employees or to minimize prospective loss of leaving employees today's business organizations must transform the individual knowledge possessed by the employees into organizational knowledge. However, how can this be accomplished? Rendering organizational commitment among employees is one of the most important ways. Demirel (2008) in his/her study explained organizational commitment by demonstrating its potential consequences according to which organizational commitment is "The individual's contribution to the organization. It comprises of contributions such as enhancing organizational performance, resolving absenteeism and reduction of worker turnover rate. As the level of commitment to the organization rises so does the level of effort for the organization". As can be inferred organizational commitment is key to ensuring continuance and knowledge sharing. Knowledge sharing is defined as a process whereby an individual exchanges the knowledge he/she possesses with other individuals for them to understand, appropriate and utilize that knowledge. It is said that, the most important element of knowledge sharing of organizations is the individuals and individual knowledge. In their study dated 1995 Nonaka & Takeuchi, referring to importance of business organizations' employees in the process of knowledge production, emphasize that the organizations cannot produce knowledge without the individuals and that unless an knowledge sharing is medium is created within the organization organizational effectiveness and efficiency will be quite limited (Karaaslan, et al., 2009). Employees will contribute to the sharing knowledge within the organization relative to their level of organizational commitment and this will contribute to the development of both the organization and the employees.

### **Methodology of Research**

#### **Purpose of Research**

The purpose of the research is to determine the effect of organizational commitment on knowledge sharing in the textile sector by determining the relationship between organizational commitment and knowledge sharing.

#### **Data Collection Method**

Survey method is used in data collection. The survey consists of three parts. Part 1 consists of Personal Knowledge Form in which knowledge regarding the gender, level of education, age, length of work in the sector, length of work in the work place, job, salary and management mentality of the business organization are asked to the subjects. Part 2 consists of Knowledge sharing Measure. The said measure is adapted from the studies of Holste (2003) and Wang (2010). Part 3 consists of Organizational Commitment Measure. This measure is taken from the studies of Meyer and Allen (1991), Tayyab (2006) and Cohen (2007).

#### **Extent of Research and Sampling Process**

The employees of the two plants operating in the textile sector in Aksaray, Turkey make up the main mass of the study. To gain advantage in terms of cost and time in sampling from said main mass and easy sampling method is utilized.

In Table 1, the profile of the organizations within the scope of the research is given. Knowledge regarding the textile employees is taken from “Work force market Aksaray province result report” prepared by Türkiye İş Kurumu in 1911 (2012 report is not published yet).

**Table 1. Employee Data of Organizations**

<b>Organizaitons</b>	<b>Female</b>	<b>Male</b>	<b>Total</b>
<b>A Textile</b>	166	184	330
<b>B Textile</b>	148	59	207
<b>Total</b>	<b>314</b>	<b>243</b>	<b>537</b>

278 employees working in two different firms of the textile sector in Aksaray took part in the research. The age range of the employees is 18-30 (86.3%). 54.3% of the subjects consisted of men and 45.7% of women. As to the level of education of the employees 46% (128 graduates) of them were noted to be graduated from primary school and 43.5% were high school graduates.

#### **Hypothesis of Research**

The hypotheses developed depending on the purpose of the research are:

- H<sub>1</sub>:** There is a significant relationship between the level of organizational commitment and knowledge sharing at the individual level.
- H<sub>2</sub>:** There is a significant relationship between the level of organizational commitment and knowledge sharing at the organizational level.
- H<sub>3</sub>:** The level of organizational commitment affects knowledge sharing in a positive manner.

#### **Research Findings**

##### **Socio-Demographic Properties and Management Type Related Findings:**

%54,3 of the 278 workers who participated in the survey are male and %45,7 of them are female. %86,3 of the workers are aged between 18-30. %55,4 of the workers have been in this sector for 1-3 years. %61,9 of them have been working less than 1 year in their organizations. %89,5 of the participant are elementary school or high school graduates. %97,8 of the workers are in manufacturing departments and have work in coordinated. As for the salaries, salaries of the %92 of the workers are between 500-1000 TL (€110 - €120). %49,3 of the workers indicated that their management has an authoritative structure and %28,4 of them are customer oriented.

##### **Reliability-Validity Analysis of Organizational Commitment and Knowledge Sharing Scales**

In the research, Cronbach's Alpha Coefficient is used in scales analysis as predicative factor in the validity analysis. Cronbach's Alpha coefficient of the organizational commitment scale is 975; Cronbach Alpha coefficient of the knowledge sharing scale is 925. Validity analysis of the scales are given in Table 2 and Table 3.

**Table 2: Validity Analysis of Organizational Commitment Scale**

<b>Organizational Commitment: Variables</b>	<b>Factor and Factor Values</b>		
	<b>1</b>	<b>2</b>	<b>3</b>
I think people frequently change jobs	,601		
A person should always be loyal to the organization he/she works in	,678		
As a worker, transferring from one firm to another is completely ethical to me	,639		
One of the main reasons for me to continue to work in this company is loyalty and moreover moral obligations	,812		
I can leave my job if I get a better job offer	,773		
Spending most of his/her career in one institution is good for a worker	,843		
I don't it will be logical to commit myself emotionally to one organization	,776		
As for my opinion, being loyal to the organization is important	,860		
I'd be happy to spend the rest of my professional life in this organization		,783	
I like to talk to my friends about the organization		,825	
I consider the problems of the organizations as my own problems		,825	
I can't easily commit to another organization as I've done to this organization		,805	
In this organization, I feel like I'm family		,747	
I feel an emotional bond with this organization		,772	
This organization is very important to me		,705	
I feel loyal to this organization		,747	
If I leave my job, a big proportion of my life would be affected negatively			,606
Leaving this organization now would cost me economically in the future			,479
I continue working here to prevent myself from making individual sacrifices			,611
One of the negative consequences for me to leave this institution, another organization may not provide me the conditions that I have here			,318
Even if I wanted to leave this organization, it is very hard for me right now			,608
The reason I want to stay in this organization is both because I want to and because it's a necessity			,415
I think I have not enough opportunities to consider leaving this organization			,626
I'm concerned about leaving this organization without guaranteeing a new job			,341
<b>Organizational Commitment format related variance (%)</b>	<b>31,379</b>	<b>29,843</b>	<b>15,03</b>
<b>Total variance (%)</b>	<b>76,26</b>		
<b>S-S-P</b>	<b>,949</b>		
<b>Bartlett's Test of Sphericity: Approx. Chi-Square ;df</b>	<b>7649,206; 276; p&lt;0,001</b>		

**Not: Factor 1: Normative Commitment, Factor 2: Emotional Commitment, Factor 3: Continuance Commitment**

In Table 2, factor analysis related to organizational commitment scale is presented. According to results of the analysis, organizational commitment is described in 3 factors in a percentage of 76.26. Sampling sufficiency coefficient is set to 0,949.

**Table 3: Validity Analysis of Organizational Commitment Scale**

Organizational Commitment: Variables	Factor and Factor Values	
	1	2
I share knowledge with my co-workers in order to solve a problem	,633	
I'm willing to share formal documents with the rest of the staff in the future	,747	
I'm always willing to share manuals, methods and work analysis models	,766	
I'd like to share work related knowledge I've gained from newspapers, magazines, etc...	,798	
I'm willing to share technical knowledge with the rest of the staff in the future	,837	
I always use other workers desires in order to create my own technique and methods.	,809	
I'll try to share my expertise coming from my education more effectively with my co-workers	,858	
Knowledge sharing increases my prestige in the organization	,840	
Knowledge sharing makes me recognizable	,838	
Knowledge sharing brings me respect	,846	
Knowledge sharing brings me praises	,843	
Knowledge sharing helps other workers in solving organizational problems	,824	
Knowledge sharing brings new job opportunities to the organization	,789	
Knowledge sharing increases prolificacy		,884
Knowledge sharing helps reaching organizational performance goals		,894
Knowledge sharing strengthens relationships between workers		,927
Knowledge sharing makes me present myself better to the new employees.		,901
Knowledge sharing widens the cooperated activity area		,898
Knowledge sharing helps me to cooperate better with the management in the future		,882
Knowledge sharing creates a strong cooperation between workers who has same sense of purpose.		,871
<b>Knowledge sharing factor related variance (%)</b>	<b>42,293</b>	<b>28,269</b>
<b>Total Variance (%)</b>	<b>70,562</b>	
<b>S-S-P</b>	<b>,924</b>	
<b>Bartlett's Test of Sphericity: Approx. Chi-Square; df</b>	<b>5330,796; 190; p&lt;0,001</b>	

**Not: Factor 1: Individual Knowledge Sharing, Factor 2: Organizational Knowledge Sharing**

In Table 3, results of knowledge sharing related factor analysis are presented. Knowledge sharing is described in 2 factors in a percentage like 70.562. Sampling Sufficiency Proportion is 0.924. In this context, we may say that, knowledge sharing scale has internal accuracy.

**Table 4: Descriptive Statistics Related to Organizational Commitment and Knowledge Sharing**

Descriptive Statistics			
	Average	Standard Deviation	Numeral
<b>Individual Knowledge Sharing</b>	3,6646	,97951	278
<b>Organizational Knowledge Sharing</b>	2,9491	1,24403	278
<b>Knowledge Sharing in General</b>	3,3069	,84626	278
<b>Emotional Commitment</b>	2,9159	1,06600	278
<b>Continuance Commitment</b>	2,9213	1,03778	278
<b>Normative Commitment</b>	2,8858	1,11854	278
<b>Organizational Commitment in General</b>	2,9077	,99607	278

**Not:** 1: Strongly Disagree, 2: Disagree, 3: Neutral, 4: Agree, 5: Strongly Agree

In Table 4, when statistics are examined, it is seen that participants have a positive attitude towards individual knowledge sharing in organizations. Attitude of the workers toward organizational knowledge sharing is almost positive. Hereunder, it is possible to say that workers have a positive attitude towards knowledge sharing in general. As the averages of the organizational commitment levels of the workers are examined it appears to have an above the average value.

#### **The Relationship between Organizational Commitment and Knowledge Sharing**

Correlation analysis is conducted in order to obtain the effects of organizational commitment over knowledge sharing on Table 5.

**Table 5. The Relationship between Organizational Commitment and Knowledge Sharing**

FACTORS	Knowledge Sharing Related Factors			
	Sperman's rho	Individual Knowledge sharing	Organizational Knowledge sharing	Knowledge sharing in General
<b>Organizational Commitment Related Factors</b>				
<b>Emotional Commitment (EC)</b>	<b>r</b>	<b>,184</b>	<b>,339</b>	<b>,356</b>
	<b>p</b>	<b>,002</b>	<b>,001</b>	<b>,001</b>
<b>Continuance Commitment (CC)</b>	<b>r</b>	<b>,127</b>	<b>,283</b>	<b>,281</b>
	<b>p</b>	<b>,035</b>	<b>,001</b>	<b>,001</b>
<b>Normative Commitment (NC)</b>	<b>r</b>	<b>,129</b>	<b>,254</b>	<b>,261</b>
	<b>p</b>	<b>,032</b>	<b>,001</b>	<b>,001</b>
<b>Organizational Commitment (OC)</b>	<b>r</b>	<b>,158</b>	<b>,314</b>	<b>,322</b>
	<b>p</b>	<b>,008</b>	<b>,001</b>	<b>,001</b>
<b>p &lt; 0.05</b>				

In Table 5, correlation analysis of the relationship between organizational commitment and knowledge sharing is presented. According to this, there is a positive but weak relationship between emotional commitment, organizational knowledge sharing and knowledge sharing in general. Also there is a positive but weak relationship between continuance commitment, normative commitment, organizational knowledge sharing and knowledge sharing in general too. Additionally, it is also discernable that there is a positive but weak relationship between emotional commitment, normative commitment, continuance commitment and knowledge sharing. In general, there is a positive but weak relationship between organizational commitment and knowledge sharing.

According to the results obtained from the table, **1. H<sub>1</sub> hypothesis** ( $p < 0,05$ ; EC:  $r = 0,184$  CC:  $r = 0,127$ ; NC:  $r = 0,129$ ; OC:  $r = 0,158$ ) which supports there is a relationship between organizational commitment and knowledge sharing is confirmed. When the second hypothesis which supports that organizational commitment levels bring the organizational knowledge sharing system is examined, it's obvious that organizational knowledge sharing is gets more powerful than individual knowledge sharing. **2. H<sub>1</sub> hypothesis** ( $p < 0,05$ ; EC:  $r = 0,339$ ; CC :  $r = 0,283$ ; NC:  $r = 0,254$ ; OC:  $r = 0,314$ ) is confirmed. Result of the hypothesis supports the research done by Han and his friends in 2010.

Accordingly, in the research, it is implied that workers will be more willing to share knowledge if they are involved in organizational decisions.

### Effects of Organizational Commitment over Knowledge Sharing

Regression analysis is conducted in order to obtain the effects of organizational commitment over knowledge sharing on Table 6 and Table 7.

**Table 6. Organizational Commitment-Knowledge sharing Anova Test Results**

ANOVA <sup>b</sup>						
Model	Sum of Squares	df	Average of Squares	F	p	
1	Regression	25,471	3	8,490	13,455	,001 <sup>a</sup>
	Residual	172,903	274	,631		
	Total	198,373	277			

p<0,05; a: Independent Variable: Organizational Commitment; b: Dependent Variable: Knowledge sharing in General

Table 6, model is meaningful on p<0,05 and on 13,455 F.

**Table 7. Organizational Commitment-Knowledge Sharing Coefficients Table**

Model 1	B	$\beta$ coefficient	t- value	p	R	R <sup>2</sup>	Rectified R <sup>2</sup>
					,358 <sup>a</sup>	,128	,119
(Constant Value)	2,482		16,769	,000			
Emotional Commitment	,295	,372	3,895	,000			
Continuance Commitment	-,075	-,091	-,648	,517			
Normative Commitment	,063	,083	,718	,477			

a. Independent Variable: Normative Commitment, Emotional Commitment, Continuance Commitment

b. Dependent Variable: Knowledge sharing in general  
p<0,05

In Table 7, %11.9 of knowledge sharing is described by independent variables. When looked at the  $\beta$  coefficient, it is observed that this affected mostly by “Emotional Commitment”. So, this means emotional commitment affects knowledge sharing. Accordingly, **3. H<sub>1</sub> hypothesis is partially accepted**. Similar researches also support these findings, Abili and others, (2011) tried to base knowledge sharing to various factors. One of these factors is “Human factor” in the basis of trust and commitment. Within their study, they established that there is a positive relationship between trust, commitment and knowledge sharing. Carbó ve Segovia (2011) emphasized that in order to increase knowledge sharing, individual commitment levels must be improved. Saleem and others, (2011) also defended that organizational commitment supports knowledge sharing, in addition they implied that workers with organizational commitment understanding are more willing to share implicit knowledge. Mogotsi and others (2011) weren’t able to discover a relationship between organizational commitment and knowledge sharing, however in the direction of literature and their own predictions they have implied that this is a surprise and in their research they have mentioned organizational commitment as something that may affect knowledge sharing.

### Result & Discussions

Organizations recently started to understand the value of their most precious assets, people (workers). That’s why, the organizations choose to include the ways of worker and customer centered human resources applications. In the present, values of the organizations are measured not only from tangibles but also from their workers, brand value, organizational knowledge, as a sum intellectual capital too. The income that comes because of valuing workers may be low in short terms, however the gained intellectual capital would become an high profit income in mid and long terms. Thus,

organizational managers are forced to find new methods that may increase the knowledge sharing in the organization. One of these factors is organizational commitment or emotional commitment. Research is based on searching for the effects of organizational commitment in knowledge sharing.

There are many few productions in the literature that study organizational commitment. Hoof and Ridder (2004) researched the role of organizational commitment and communication over knowledge sharing. In their research, they have established the importance of organizational commitment especially emotional commitment over knowledge sharing. Besides, they presented that emotional commitment increases the knowledge sharing and willingness of the workers to share knowledge and also they presented that sharing knowledge is harder than gaining knowledge. On the other hand, in his doctoral thesis on the relationship between organizational commitment, job appreciation, organizational citizenship behavior and knowledge sharing, Mogotsi (2009) presented that there isn't a strong connection between them but less %5 interaction. By looking at the results of research hypothesizes, generally results are positive and indicate that there is a connection between knowledge sharing and organizational commitment. Emotional commitment would cause the workers to willingly contribute to the organization without any expectations from the organization. In other commitment types since the workers only think their profits, they will share only "sufficient" knowledge. However, willing workers won't hesitate to make efforts and to share their knowledge. (Hau ve Chow 2004: 3). This is because; emotional commitment interacts better with knowledge sharing. Researches are consistent with the literature. In order to set light to future studies, since this research is contributed on a textile factory which is a production plant it would be better to study on more suitable sectors. This is important to provide the consistency of results and to indicate differences between sectors

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## HUMAN RESOURCES EFFECTIVENESS IN THE CONTEXT OF SUSTAINABLE DEVELOPMENT IN A GLOBALIZED WORLD

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### Abstract:

Globalization is a generic concept for a variety of social processes, including internationalization of businesses, the raise of multinational companies, the convergence of business practices. An important aspect when we talk about globalization is that in a world where everything is transforming and growing continuously, we can not keep track of the sustainable development importance, keeping the balance of natural resources and ecosystems. Human resource is the main beneficiary of valorizing systems, natural resources and, at the same time, the main disturbant of integrity or balance of natural resources and ecosystems. The human resource has its own potentialities which can be put at service for development. People have the capacity to receive, process information and knowledge, to generate information and knowledge with commercial value. Human intelligence thus becomes a factor of economic-social development and a parameter of integration in world flows, as a companion to globalization phenomenon.

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**Key Words:** sustainable development, human resources, globalization.

### Introduction

The amplification of the phenomenon of globalization must be linked to the activity, sometimes questionable activity, undertaken by global financial institutions. Modern life floats according to global/local hierarchy: globality and locality became contrary and fundamental values, coveted or rejected, but in the center of dreams, nightmares and conflicts of life [5].

Referint to globalization we can say that the majority of the world's countries have an open system regarding international trades, international financial flows, international technological transfers etc., and all these represent irrefutable realities. We are facing today a remarkable progresses in the area of communication and transportation are other factors which allowed the amplification of economic interdependences between different countries.

To reduce various contrasts and ensure a balanced overall development, over time there have been developed a number of strategies and concepts that focus on the economic growth process considered basic progress in all areas.

If traditional growth models were aimed at developing and enhancing wealth created, so as to secure the conditions for rising living standards, in other words, had an orientation predominates, new approaches must be predominantly qualitative growth, which means that the size increase should serve mostly human, social and on the environment. Development should lead to improving the quality of life and extend their ability to shape their own future. Based on these considerations, was defined the concept of "human development" in the first World Report on Human Development developed and published in 1990 by the United Nations Development Programme (UNDP) [6].

### General aspects concerning globalization. Globalization'future.

This is a complex and contested concept. Considered by some as a factor of progress and by others as the origin of many insufficiencies, globalization is an unstoppable phenomenon of the current times. International companies are regarded as being the vectors of the globalization process. The

businesses of multinational companies overcome borders, and their investments can be found everywhere in the world and they determine the geographic spread of the new technologies.

From the economic point of view, there are three main trends which can be identified as causes of the increasing of international trade and globalization process. First of all, the one which has the deepest implications, is represented by the technological change. Second of all, more and more governments have promoted liberal policies, in order to open the markets and eliminate the administrative obstacles impeding the development of economic activities. Third, the joint action of new technologies and the existence of freer markets has allowed companies in more countries to internationalize their activity, creating the global economy level as a set of interrelated activities. These trends led to the emphasis of the interdependences which brought together the national economies, creating unprecedented opportunities but also new economic, political and social challenges (Table 1).

*Table 1. New indicators of globalization*

<b>Economic integration</b>	- International trade, FDI, portf capital flows and investments
<b>Political commitment</b>	- subscription in international organizations, ratification of international treaties and government transfers
<b>Technology connectivity</b>	- Internet users, access to wireless telephony and servers security
<b>Personal contacts</b>	- international travel and tourism, international telecommunications traffic
<b>Quality of life</b>	- access to increasingly broader health education systems. A longer life expectancy

*Source: adapted from James Canton, „Provocările viitorului. Principalele tendințe care vor reconfigura lumea în următorii 5, 10, 20 de ani”, Polirom, Iasi, 2010, page 206.*

The globalization of the world economy affects, without doubt, almost every aspect of domestic and international business. Its supporters converge on the assumption that no obstacle should block the free movement of goods, services and capital. Many agree that the globalization releases latent economic energies and leads to an efficient use of decreasing world resources, to maximize global wealth, to promote world peace and to economic benefits.

The critics of globalization see it as a triumph of the ruthless capitalist system marked by exploitation, domination and inequalities. Free market ideology has proved to be an excuse for new forms of exploitation. „Privatization", a feature of the foreigners in buying fertile land, mines and oil fields in the developing countries, at moderate prices. Trade liberalization also meant that foreign companies could wipe out the embryonic industries from the Earth, stifling the entrepreneurship development. In fact, capital moves freely but not the same thing happens with manpower, except for the very gifted. Banks are often less interested in lending new industries, but to finance speculative investments, for example, real estate field or to credit governments [3].

The world is engaged in a contest between economic growth and population growth, and population growth seems to prevail until now. As the percentage of poor population decreases, the absolute number of poors increases. 40% of the world population lives with less than two dollars a day and a billion people with less than a dollar a day. From a historical perspective, Africa is the region most exploited by globalization [2]. It is argued that the most important result of market globalization is the triumph of the market on the nation-state and, consequently, the end of national economic sovereignty. Economic policies and the welfare state are slaughtered in the name of corporate profits and international competitiveness.

The reason why international trade agreements have been unsuccessful is their imbalance: advanced industrialized countries were allowed to impose tariffs on goods produced by developing countries or which were four times higher than the tariffs applied on goods produced by other advanced industrialized countries. Although the developing countries were forced to abandon their subsidies designed to help the emerging industries, the advanced industrialized countries have continued to benefit from their large subsidies in agriculture, which led to the decrease of food prices and disruption of the living standards in developing countries. Prices are an important source of government revenues in less developed countries. Their cut brings negative effects in the amount of education funding, infrastructure and social benefits.

*Table 2. The future of globalization*

Economy based on innovation
Poverty
Higher life standards
International commerce
Changes in the population - global manpower
Cultural diversity
Terrorism
Global security

*Source: adapted from James Canton, „Provocările viitorului. Principalele tendințe care vor reconfigura lumea în următorii 5, 10, 20 de ani”, Polirom Publishing House, Iasi, 2010, page 191*

The globalization process requires the countries to create a strong image, a brand, in order to be better position for global competition. In some cases these images are stereotypes, extreme simplifications of reality that are not necessarily correct [1].

The globalization phenomenon is unavoidable. Besides the economical and political globalization there is also the moral globalization to consider. Generally speaking, the globalization should be based on moral principles. Irrespectively the changes being implied in the foreign trade field as well, the basic principles of the commercial policies will keep on remaining valid for long time forward, despite the large scale of technological progresses going to be achieved.

The principles of promoting, sustaining and protecting the individual and/or group interests should remain valid within the globalized market.

### **Effectiveness and sustainable development of human resources**

Concerns about the future of humanity, and from this perspective the assurance of sustainable development leading to improved quality of life in a balanced and global, are more frequently mentioned in many international summits and meetings where progress is analyzed human

development progress is assessed and signals persisting weaknesses in different areas. Significantly into the international community responsibility were formulated and adopted specific objectives whose achievement provide new dimensions of sustainable development, and thus human development.

The efficiency of human resource is capitalized as two levels: the personal interest (gain, professional affirmation, etc.) and the social interests, of the effectiveness of the company, the area, the country. Common indicators for the effectiveness of human capital are known, that is: GDP/habitant, productivity, working time rendered in a year, the active professional period; the unemployment rate, the retirement age, the number of inactive people besides the unemployed (not employed, penitentiaries, handicapped). In the last 20 years the knowledge economy was shaped (knowledge society), that has other personal indicators characterizing efficiency. In the latter case, the generating information and knowledge- with commercial value – underlines the human contribution. Professional training, talent, innovative spirit, start to be the prevailing criteria for assessing the human activity.

And, finally, another set of indicators may relate to the effectiveness with the man put in good use the natural resources. It is not only about the quantitative aspects (outputs, losses, degree of revaluation, etc.), but also quality aspects (pollution, affecting the quality of the environmental factors).

A new and very discussed globalization dimension refers to the way it influences sustainable development. Is a notion of social efficiency or the extent to which the human resource intervenes in nature, in society, in order to imprint an ascendant trend to the evolving process, which is transformed step by step into a trend specific to development processes, this way giving a meaning to the place and role of human in nature, in human habitats, in modern society. The human contribution to the formation modern society.

## Conclusion

In conclusion, in order to talk about human resource effectiveness in a world of globalization and in the context of sustainable development, human resource investments should target these issues:

- developing a strong research sector with its green virtues;
- quality of education - school and university curricula to adopt sustainable sectors with economic potential and social perspective;
- training specialists in holistic system for reconstruction / construction of sustainable economy;
- Preparation makers in holistic system for managing sustainable economy.

Only a human resource connected to global flows of information and knowledge and ready to deliver commercial knowledge, accompanied by a valuable cultural capital and are able to recalibrate / build a sustainable economy.

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## VALUES ACTUALIZATION IN THE EDUCATIONAL PROCESS

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### Abstract:

The person's value is the choice he or she makes between a number of competing alternatives, thus defining what is important in his or her life. Values are the way a person communicates to other people, putting oneself along with them or against them. Values can be understood only in the context of other people and other values. They explain human behaviour and choices much better than leisure, socio-demographic characteristics or consumption of themes. Values are the criteria for decision-making in situations where there are limitations - and they exist in almost every moment of our lives - they can be time, money, abilities, and various other constraints. Each person's future as well as national achievements of Latvia and preservation of national culture is dependent on the population education level, education quality and those capacities that help people find their place in life and professional fulfilment. All parents share one single desire for their children to find their place in life and become happy. In the majority of Latvian society the prevailing opinion is that due to obtained good quality education a person can significantly influence his own life, change the existing social status and develop prosperity. Throughout times education has been a fundamental value in Latvia. Just because of that in the process of the younger generation development it is very essential to pay attention to the promotion of the values' formation. It is therefore very important for students to discover the importance of different values in the educational process.

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**Key Words:** Education, value, value actualization, students, school

### Introduction:

Pedagogy more than other sciences affects the formation of national culture as a part of national education. On a global scale, development of educational policy experiences a unique situation in Latvia. During the transition period pedagogical experience has been accumulated, which has a lasting value not only in the development of national pedagogy, but also for enrichment of the pedagogical ideas in the world.

Analysis of social and economic situation in Latvia reveals a number of essential problems. Development of Latvia as a territorially small country is endangered by sectoral and regional disparities. Conflict between urban and rural areas is building up due to social conditions. Comparative international education researches carried out in Latvia confirm also the different education quality in the city and in the countryside. Attachment of people to one particular location is decreasing. People change their residence and workplace with increasing frequency, school students are forced to change their educational sites, and they are subject to changes in the educational process, which is not always a positive effect on their learning achievements.

In the context of the above-mentioned problems, education quality is significantly affected by the transition period diversity, uncertainty, disorder, and continuous education reformation process. Teachers and educational institutions as a whole suffer from social consequences created by other spheres (disorganised processes in politics, market economy and other). Rapid formation of class society and polarisation is a faster process than state support to development and maintenance of the intellectual potential, thus a gap is formed between the potential and financial capacity of a big part of people for its development – a destructive process of the national perspective, which has already been reflected in education.

Simultaneously, the teachers and the school are among those institutions that are mostly criticized by society and blamed for failure to perform their functions, school incomppliance, etc., showing a two-fold process as reality – teachers' functions are not defined for the present day conditions, teachers' own voices are too weak for defence of their own rights and decision-making on education.

Transformation of a closed society into an open society is a systemic transformation where one of the dominant priorities is education. Also in education a paradigm shift has taken place, which envisages changes in the paradigm of the human perception and thinking. Paradigm changes in society are determined by the evolution of scientific ideas, their revolutionary changes over time. We are moving towards humanistic paradigm in education, whose key words are humanity and democracy. Humanitarian education paradigm states that understanding of the essence of education (educational philosophy) should change as well as the education content, methodology, methods, means and techniques, conditions and results. Unfortunately, a person can join the view that the mentioned educational components are seldom completely replaced although the change is declared.

World's economic and social development becomes more and more dependent on human knowledge, skills and attitude; therefore importance of education in development of society's welfare increases continuously. That is what underlines the need to reinforce the values in the educational process.

**The aim of the research:** To explore students' values and its development in the educational process.

### **Results of the Research**

An educated and creative person is one of the top priorities for achievement of the strategic objective of the National Development Plan for 2007-2013 (11). There is a well grounded viewpoint that success in education can be apprehended only in the long-term, even in ten or more years. Therefore today's work of teachers is very important.

In Latvian society, due to the specificity of cultural environment and traditions, education is a value and is considered to be a priority field of social life and human activity. This idea is confirmed by the Education Development Conception of Latvia (7), emphasising that the education is a personal, public and common human core value. Therefore, the parents' concern and dissatisfaction with their children's education process and its quality are understandable.

The main function of modern education is to uncover every child's personality, create conditions for personality development, and ensure criticism in the education process, independence and creativity in thinking and activities (Šmite, A., 2004; 16). With good reason, education is considered to be the field of mankind activities that has the most direct impact on the quality of life and welfare of humans. The main task of the education system in democratic and humanitarian society is comprehensive development of every individual's skills and potential; their preparation for life-long education, creative working life and responsible participation in society processes (Valbis, J., 2005; 20).

Culture and education, as addition to each other, create favourable conditions for comprehensive development of individuals and society and for competitiveness in the lifetime. Culture enriches the education process and content with values and new possibilities of learning; in turn, education is the most important means of promoting continuum and excellence of the national culture process (National Cultural policy 2006 – 2015; 22).

Educator from the first period of Latvia independence A.Dauge emphasized that the school can only be a strong general foundation on which all the brightly individual, special, and exceptional can be built in the future work of conscious self-education (Dauge, A., 1928; 6). Therefore the school does not educate personalities but puts strong foundations, prepares the land for personalities to grow. Today, with full responsibility, it can be argued that education, science and culture become community development forces that directly influence production (Špona, A., 2010; 17). A good school is each nation's pride because the road to a knowledge society goes through school. A modern school is a publicly or privately organised institution with a diverse structure for complex and systematic development of balanced personalities of students and for implementation of socialization functions of

interaction between students - teachers - parents - community. Attitude towards the perfection of the mind, self-improvement, practice in daily learning from the first grade through higher education diploma receipt, people develop mental habits of work, not to pass the exam or get a degree, but to make them relevant and valuable to other people. Under these circumstances, human responsibility, compassion, help, support, tolerance for each other increases. It means that each one of us becomes socially more important not only to our region and country but also to Europe and the whole world. Each person's attitude towards life becomes a social value.

Education is the area of acquisition of purposefully organised society historical experience, cultural values, their inheritance, systematised knowledge and skills formation, personality traits, belief, attitudes and value creation and formation, a set and result of appropriate practical actions. Education is a purposeful personality development process and result. It is a life-time on-going learning and training, resulting in formation and perfection of the person's mental and mentally physical quality.

Quality in education is analysed from different perspectives and opinions. "Quality Handbook: Procedures and Practice" (10) published by European Foundation names the following quality categories:

- quality as excellence (absolute quality);
- quality as "zero error" (relative quality);
- quality as "meeting goals";
- quality as changes;
- quality as the threshold;
- quality as improvement.

While their educational counterparts, when analysing education quality, emphasise the investment (resource) quality, process quality, curricula and quality of the results. Issues of the educational process, quality of the results and of personality values become particularly relevant in a changing society.

The values are specific social characteristics of the objects in the surrounding world, which show the positive or negative meaning of these objects. They describe things, facts, phenomena that possess a set of positive attributes and that people perceive in their minds as crucially important for themselves or others, desirable in particular historical conditions, in certain culture and concrete society as well as things contributing to the formation of their personality. The values can be clearly identified but one can also tend towards them unconsciously. They form a unit with the goals, ideals and characterise the attitude towards culture, work, the country, people and himself. Values can be systematised, creating a hierarchy starting from socially less relevant to most significant: man-made material, mental (aesthetical, ethical, artistic and other), and ending with a human being, personality as a supreme value. Over time people's general value orientations change: some values are given priority, the importance of other values decreases. There are teacher education study program 1st year students' various opinion what factors influence the value formation (See Image 1):



Image 1. Factors influencing the values formation

The choice of values is not an ordinary case, but the result of a careful consideration, for there is always a choice between alternatives. The value quantity is not the most important thing, but their essence. Therefore, it is necessary to assess the value properties. According to J.A.Student (15), the nature of value is characterised by the following features:

- *unequivocalness*, which indicates that the value in its individual aloofness is alone;
- *eternity*, that expresses the independence of the value from a human being, because spiritual values are not created by a human, he only recognises and acquires them, they are eternal; while, material values are created by a human and it is the person himself who assigns them the value;
- *permanency* or the absolute nature confirms people's views on value changes, but deny variability of the value as such;
- *need for fulfilment* confirms that the value as the embodiment of perfection appeals to people to fill it, more and more developing themselves towards those values.

Values can be objective or subjective, impersonal or personal, variable or constant, arranged. The assertion that the value is absolute is its important feature. This means that the value is not temporary; it is eternal, at all times and the same for all people. Public perception of the value can change, but the value as such remains absolute forever. The value requires fulfilment; it would be meaningless if it could not be fulfilled. Value is like an invitation and a command to be fulfilled. Value is like a force that draws people to it. In the value formation process it is necessary to find those positive values which could strengthen and to out-compete unacceptable tendencies.

The school years of a child, teenager and adolescent is a stormy time of development and also value formation. It is very essential to define the pedagogical values (Špona A., 2001; 18). They are things, facts, phenomena which human beings experience as very essential for them and which will promote their personality's formation. Pedagogical values are things, facts and phenomena that individuals experience as personally important and that will facilitate improvement of their personality. In the circumstances of education reforms the following become the main pedagogical values:

- personality development;
- socialization,
- learning throughout the life,

- readiness for activities of life,
- creative activities.

Lack of motivation can be solved by changing learning approach when learning in the secondary school acquires qualitatively new properties – self-determination tendency. Self-determined learning is an independent learning process where students take free part by leading and organising it, as well as analysing, exploring and evaluating. To be more precise, by the use of offered learning opportunities students develop their learning skills, act in their interests to improve their quality of life. Self-determined learning is based on student's independent setting of objectives which at the same time are objectives of life activities. These are close objectives in line with today's perspectives, as well as distant objectives related to future. Abilities of self-determination: flexibility, independence, endurance, wide general knowledge, ability to concentrate. As a result self-motivation ability develops – self-suggested learning usually is the most lasting and permanent in results.

Teachers can strengthen student's natural motivation, influence learning motivation if they are personalities with qualities and modern techniques and whose lessons are interesting and with motivational content. Teachers in their work respect the student's individual peculiarities:

- accept and evaluate students as they are at the specific moment;
- believe in their ability to learn and develop;
- notice and appraise students' efforts in acquiring new skills;
- admit differences in terms of learning speed, patience, accuracy or interest;
- create positive relationships with fellow students;
- create a learning environment that helps building mutual trust.

Motivation activates, directs and maintains our behaviour. Motivation is encouragement and initiative, which brings closer to the objective. Strongly motivated persons can overcome many difficulties to achieve the planned. Strongly motivated teachers can find different ways to make students learn effectively in the class.

Because it is the young people's values that define and affect changes also in people's education. Therefore, despite the variety of implemented reforms in the area of education in Latvia, without realising transformation of young people's scale of values and its hidden potential growth resources, teaching practice in education is controversial and poses more questions than provides real answers and solutions to improve educational standards. Promotion of the values formation is an important aspect of the upbringing process. It provides an opportunity to consider the importance of the values in the future. The researchers of individual values emphasize that the system of values formation is revealed by following the younger generation's development tendencies and events in in society. Getting acquainted with the students' values, it can be concluded that, regardless of the age of the pupils, as the core values of being named (See Image 2):

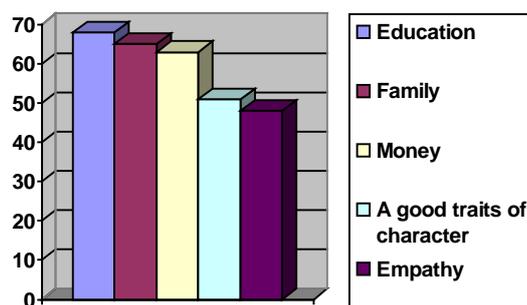


Image 2. 1st to 9th grade students' core values

As shown by the students' answers, they assess education the highest (68% respondents). One part of the respondents see the significance in the family (65%), money (63%), a good traits of character (51%). The teenagers assess the book and reading as the lowest (16%), saying that computer

gives many information and it is more interesting. Adults should not impose their personal values or "correct" students' values. Teacher's role is to help students assess and develop their own values.

Teaching and upbringing is the foundation for education. Teaching is aimed at human mind but upbringing – at development of personal characteristics. Harmonious structure of values usually includes several types of value. The most important thing is - which values will dominate and which will be the ones to influence individual's activities and personality development. Actual humanism, freedom and democracy brings human development and its high quality forward as the main treasure of the society where their individual needs and skills are taken into account in conformity with their place in the system of public relations. Enduring value of many of the historical and social changes (the revolution) is a tendency to make harmonious merger of individual and public interests (9).

L. Bozovica (3) states that it is important to ensure that values would form the learner's individual, personal world already in childhood, but A. Brielmeier (4; 5) draws attention to specific pedagogical impact of a spiritual authority on the child that stimulates and reinforces his mental life. E. Fromm (24) believes that a person needs a coordinate system, his natural and social world map without which he can get lost and lose the ability to act purposefully and successively. It enables to find orientation, support points, to purposefully classify all experienced impressions. Also A. Adler (1) is convinced that the child needs a peer, who is interested in him and feels him even when does not understand him. For the child such person is the teacher who fosters positive sense of self, strengthens the confidence in himself and his actions. R. Bern (23) confirms that for the teacher positive students' and own self-perception is one of the key factors that contributes to formation of positive "Ego" concept in students.

Every young person himself or herself chooses their own values to the greatest extent and sorts them according to their scale of interests. They values express their attitude towards nature, work, society, and themselves.

M. Rokeach (14) approach deserves closer attention which emphasizes personality values relationships within the complex structure of social tendency. He divides values in terminal values - these are the main objectives of human life, their life perspective, something that is much appreciated at the current moment and pursued to the future and instrumental values – value measures. Teachers' values deeply affect the forming of the students' values. Therefore, it is essential to know what values are important for teachers. For exploration the teachers' values has been used M. Rokeach method.

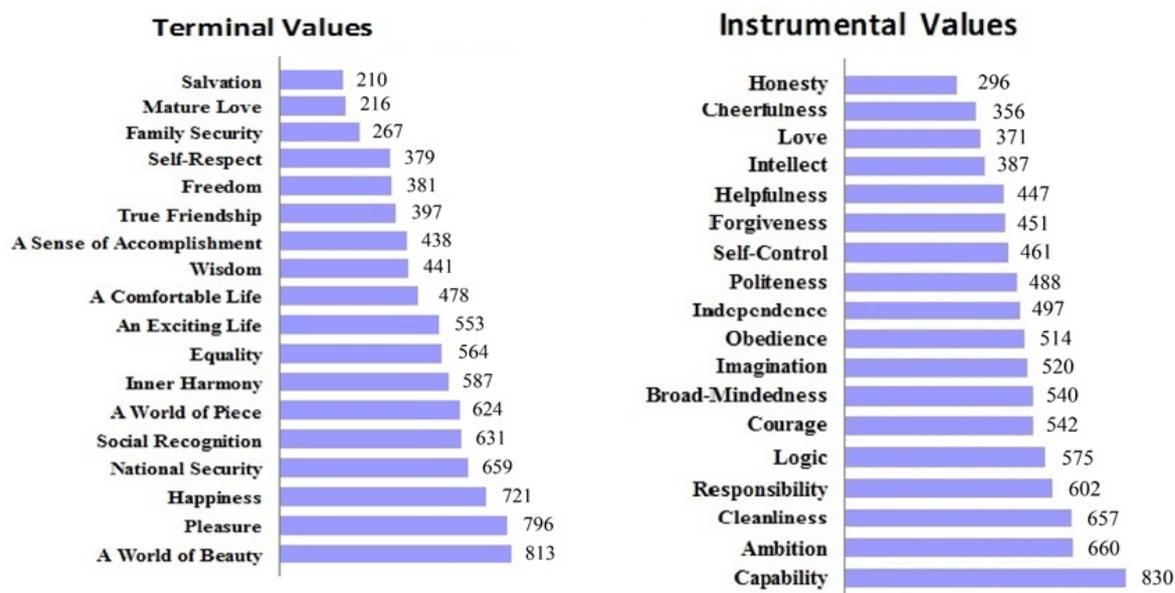


Image 3. Teachers values by M.Rokeach method

The obtained information allows to state the respondents' dominating values. Due to the terminal values' research the following values take the first places among the teachers: as the most important T-values are named salvation, mature love, family security, self-respect, freedom, true

friendship. The instrumental values determine the lifestyle in order to achieve the terminal values. Due to the instrumental values' research the teachers put in the first places honesty, honesty, cheerfulness, love, intellect, helpfulness and forgiveness. After assessing the correlation between the terminal and instrumental values, it is possible to make a teacher image: an honest, cheerfulness, helpfulness and forgiveness person with good education, a happy and full of love family life, is confident about himself or herself and feels free. Just a personality like that is able to act and shape own and pupils life efficiently.

According to the pedagogue A. Dauge (6), each item in the hands of a genuine, good teacher is a golden key, with which to unlock each child's heart and the door through which we would like him, having passed through, to keep a straight path to the end of his life. This key is triggered by students' values - the values inherited from their families, values discovered in the process of personal growth, values updated in the educational process.

To improve themselves a person form the basis of their life worthiness consciousness. It is characterized not only a goal to which he/she aspires, but also the resources chosen to achieve it. This dynamic is driven to action, the life-circumstances search. Human life reveals his biological and social nature, which determines adequate value. A teacher by providing its own self-realization, creates values to realize their professional satisfaction. Therefore it is very important what values teachers consider as significant in the self-realization and professional self-realization process.

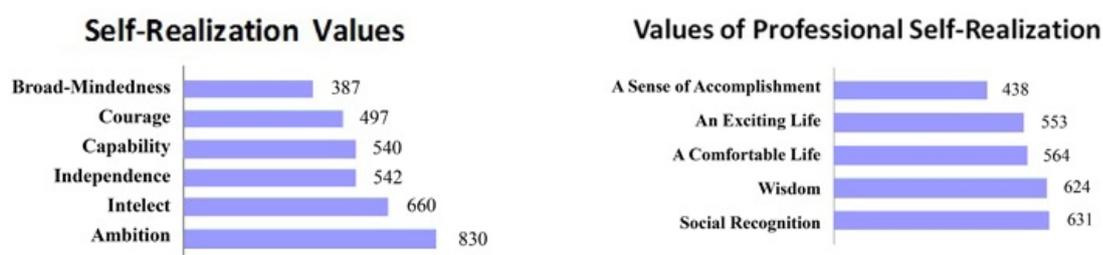


Image 4. Teachers self-realization values

As the most important values in the process of self-realization teachers named broad-mindedness, courage, capability, independence, intellect and ambition. It opens wide opportunities to realize their teaching activities. In the teachers' professional self-realization, are important the following values: a sense of accomplishment, an existing and comfortable life, wisdom and social recognition. Our society directed towards democracy and legal relations will subject its social activities and operations, internal and external policies, material and spiritual resources to the care of the specific person by creating and improving the conditions for genuine development, freeing each individual's unique creative potential.

Values orientation is orientation of views, positions and the related actions towards certain values, qualities, which understanding is based on the accumulated knowledge, attitude to life, the world, and public events. It is related to the ability to insulate the relevant from non-relevant, essential from non-essential in human life, it highlights the most important human values. Values orientation is based on the freedom to choose how to live, how to behave with the surrounding natural environment, people, and take action (13). They are rated as the most important component of the personality structure that integrates the whole life experience, which has accumulated in their individual personality development.

I.Tunne (19) stresses that the values orientation is one of the components of an individual's progress, which is determined by the individual's psychological features, his personality development process and the historical circumstances. In the process of the formation of the values there are importance of generalization and evaluation skills, as well as receive guidance and answers to questions from adults.

National Youth Policy Concept (12) on the problems of youth in building the value system disclose that youth value system as a whole represents their current inconsistency, contradiction and individualism of views. In some groups of young people the value orientation has not been based on

clear value perceptions, and later clear and strong value system has not been strengthened. Only one part of young people is confident that a job is a necessity of life and a value. These young people therefore appreciate the necessity of good education. At the same time, the importance of universally human, national and cultural values (books, museums, theatre, concerts) has decreased in perceptions of young people. Some of young people make little account of sports and community service.

### **Recommendations**

It is important to reinforce the adult skills in the way of the child's interest, help to focus his energies toward the values, revealing the importance of an individual approach to each person's values. Developing the students' value formation model there are put forward four conditions, which are important for the formation of the values:

- 1) a child's natural development rights;
- 2) a favourable psychological climate class formation;
- 3) a humanitarian contacts;
- 4) a student's proper social status.

The relations between the teacher and the student are active, the set aim is being accomplished: to enhance the value formation. By evaluating the situation and by choosing the right method of acting, the teacher can provide the pupil the subjective significance of the action. Unlocking the values in the educational process may impose the following principles:

- determination the upbringing activities and a gradualness development;
- individually valuable property development with an emphasis on the child, not just what he is, but also what he should be;
- pupils' personal ideal research and their feasibility with the specific content and creative imagination;
- educational achievement dependence from psychological, didactic, methodological aspects.

One of the most important research directions of the formation of the values is forecasting which reveals the development prospects, based on scientific research results. Projections type allows for this type of analysis:

- forecasting exercises certain expectations-search, regulatory;
- management of certain forms of predictions - the target, planned the program;
- organizational or graduation time set - spontaneous, short-term, long-term and future.

The formation of the value guidance awareness helps to see the extrapolation and interpolation. All this is fundamentally predictive model. To scientifically proven the formation and development of the values for the various age and gender people is very important to clearly define all internal and external influencing factors, which more or less affect the value of the formation process. The results of the forecasting process depend on all the factors affecting the accuracy. The forecasting goal: on the level of idea to detect the formation of the values and their hierarchy. There are three levels of forecasting objectives:

- the first level shows local targets of the development a particular value, they are used in certain teaching situations and are easily predictable;
- the second level reveals distant targets, they are usually associated with the pedagogical tasks to promote learning of the value in the one year;
- the third level refers to the allow the increased ambitions, they are based on the individual's value system stability.

### **Conclusion:**

Evaluating the students' values and its formation in the educational process, it can be concluded that students' values influence the education process and developments in the society.

It is important to promote a deeper understanding the values motivation and accountability through positive personal and social choices.

There is a need to inspire everyone to choose their own personal, social, moral and spiritual values and to discover practical methods for developing and deepening.

Child's personality development leaves a lasting impression on how the individual perceives himself, his/her behaviour, needs, values, beliefs, typical perception of the world around him/her. This leads to the necessity seriously address the introducing children to the values in the childhood, the effect of his/her personal development and early experience allows them to understand the values of society, to become an equal partner for adults.

It is necessary to encourage educators and carers thought about education as the provision of living philosophy, to promote their comprehensive development and choice, so that they can integrate into society, based on respect, trust and will.

In the upbringing is important the pedagogical the system, but no single technique, it is necessary to promote children's well thought of the value.

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## VISION SCIENCE AND PSYCHOLOGY APPROACH TO ADAPTATION PROCESSES LIED IN BASE OF VISUAL ILLUSIONS

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### Abstract:

We have experimentally studied visual adaptation processes and compared results in various visual perception tasks. Adaptation stimuli were demonstrated on computer screen and differed each from other by their luminance, colour, duration and dynamics related to the excited retinal and consequently the cortex neural cells and corresponding visual areas. Depth and characteristic times of adaptation processes depend on visual perception task. The slowest characteristic times (in range up to 10 sec and more) from studied processes are for adaptation to size of moving targets exciting retinal cells by equiluminant and isochrome stimuli, that are processed along parvocellular and magnocellular visual pathways. We assume that neural cell physiology lays on the base of this kind of size adaptation. Another kind of size adaptation where retinal cell excitation is static realizes in Ebbinghaus illusion. Here parallel to ongoing adaptation process brain uses also previously acquired knowledge to make shift in decision about stimuli size, and physiological effects dominate over psychological effects in perception of such stimuli. Over- or underestimating sizes in Ebbinghaus illusion with non-moving stimuli realizes much faster, and the degree of perception errors practically does not depend whether magnocellular or parvocellular visual pathway are activated – contrary to adaptation to dynamic moving targets.

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**Key Words:** Perceptive fields, visual illusions, magnocellular, parvocellular pathways, processing of colour signals

### Introduction:

Human brain processes inputs from our senses in very smart manner including modifications of deduction according to feedbacks in the sense pathways or to our previous experience. Typical example of such modification in higher level of perception is Ebbinghaus visual illusion. Here we percept the size of central disk surrounded by a number of larger disks as less sized compared to same size disk surrounded by smaller disks. It is interpreted as “top-down” process when we give attributes to details that is based on simultaneous view of a total scene. Human brain exposes to processing in cortex different kind of information entering all kind of sensory modalities.

We discuss in the present paper some aspects of processing of visual inputs. It is a very interesting case of modality processing, due to its multistage nature: on the retinal level, afterwards processing within LGN - *lateral genicular nucleus* level, finally - on cortex visual areas. Processes in these stages are based on different physiological interactions, therefore having broad spectrum of characteristic times (Rinner and Gegenfurtner, 2000; Fairchild and Reniff, 1995; Shevell et al., 1999). Adaptation to luminance and colour, adaptation to stimuli colour contrast and colour purity, and adaptation to stimuli size and form are within variety of these processes. Adaptation is forwarded to more economic expenses in neural activity - to increase the dynamical range of modalities, and to elimination of sensation “errors” of different origin with help of previous experience. That leads to aftereffects and oft to deliberate sensation faults. They can cause so-called visual illusions (see: <http://michaelbach.de/ot/> ; Bach, 2013). All spectrum of visual illusions is enormous. The aim of present paper is to analyze some selected and recently mentioned in literature effects allowing to make some conclusions on the way of interpretation of effects mainly on the base of the phenomena characteristic times.

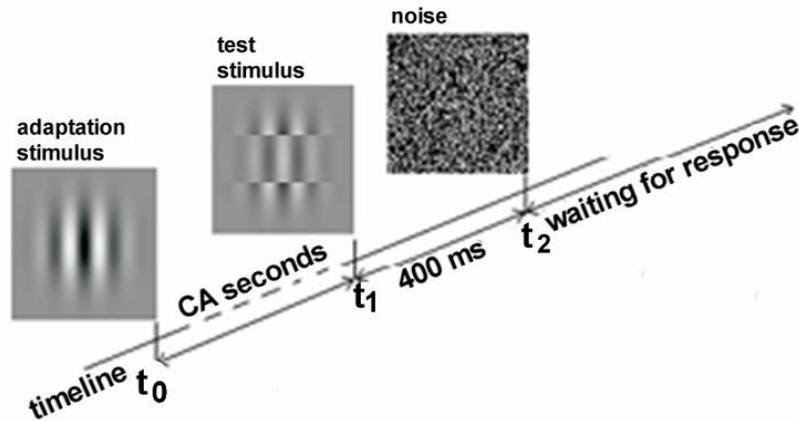


Fig. 1. Time sequence of adaptation to stimulus contrast experiment.

### Main Text:

Further we describe and give the relevant details of following experiments of our current and published studies: a) of colour and colour contrast adaptation (Lauva and Ozolinsh, 2008); - b) of colour purity adaptation (Karitans and Ozolinsh, 2012), - c) of dynamic size adaptation and comparing these results with the Ebbinghaus effect (Danilenko and Ozolinsh, 2013). All effects were studied quantitative by constant stimuli psychophysical method using multi-alternative force choice AFC paradigm. In all these cases the method consists of repetitive sequences of number of phases: adaptation phase, blanking phase, response phase, relaxation phase. During adaptation phase with variable duration the visual target is divided in parts - the left (or right) visual field with the target to adapt and the central fixation point of gaze. Blanking phase served as a variable duration pause to delay the observer response instant respectively to the end of adaptation. During the last phase in both – the left and right visual field the comparison stimuli were demonstrated, and the observer was obliged to make his response choice. The number of trials were sufficient to build psychometrical curve which allowed to approximate data with sigmoid (mainly), to obtain the curve centre shift and slope. Such way gave the advantage to minimize the objective perception hysteresis effects, to avoid subjective decision shifts, but it was a method of considerable time wasting. The latter restricts areas of application of the method due to observers' fatigue.

In the first series of demonstrations we studied the time dependence of contrast of colored Gabor gratings (Lauva and Ozolinsh, 2008). The adapting stimuli were Gabor gratings of spatial frequency 1deg with different Michelson contrast (Fig.1). During adaptation phase the perceived contrast amplification in observer cortex diminishes. That can be interpreted as inducing of a negative aftereffect that is added to the positive adaptation stimulus. The stimulus during the response phase consists of compound areas – areas of two side stimuli with unchanging high contrast reference gratings (inphase with adapting stimulus), and the central test area of control grating with variable contrast counterphase grating. Observer task is to choose between two choices – is the perceived grating in central test area in-phase with two lateral reference gratings (that fulfills if compensation stimuli contrast is overestimated) or it is counter-phased (compensation stimulus contrast underestimated). Psychometric function symmetry center reveals the aftereffect contrast value. Fig.2 shows the time dependence of the negative retinal+cortical aftereffect measured immediately after switch of the adapting stimuli. The relationship in the measured time range obeys well the exponential law with characteristic time  $\tau = 4.6$  sec. Colour vision adaptation processes are studied previously (Shevell, 1999; Werner and Walraven, 1982). We found a similar time course, well fitted to exponential law, for vision adaptation to colour saturation. Experiments were built (Karitans and Ozolinsh, 2012) on the constant stimuli trial paradigm, using two-choice AFC method. Colour purity adaptation time had characteristic time  $\tau = 0.8$  sec. It is less than measured adaptation time constant

for contrast amplification for the same person. However it can be marked, that distribution of characteristic times can be broad and diffused. But colour purity adaptation occurs without spatial resolution and therefore it is very prospective to have longer characteristic time for adaptation of spatial frequency dependent image contrast adaptation in brain.

Dynamical adaptation to stimuli geometrical features was studied in the following way. An observer gazes at the point situated in the central vision area while in one of the vision fields – in the left (or right) field a number of disks are randomly moving around for a fixed adaptation time interval. After that the control stimulus is demonstrated for a short time interval. The control stimulus consists of two smaller disks located symmetrically to the screen centre and one of the disk - in the centre of the adaptation area. The observer task is to make his choice which of these disks (in the left or right vision field) has larger diameter. For duration of adaptation phase – 15-20 sec, the observer perceives the control stimulus at the visual field of adapting stimuli of size smaller than in the previously “blanked” visual field (Fig.3).

Such size adaptation in dynamical viewing conditions was reported previously (Baker and Meese, 2012). We have studied the effect of size adaptation more detailed and quantitative. The shift in perception of disk sizes depends on adaptation phase duration and on diameters of disks in the visual field of adaptation. The strength of adaptation depends also on the colour of stimuli or more precise – on the colour contrast of stimuli and surrounding  $\Delta K$ .

Stimuli in this experiment were chosen to activate either colour sensitive M magnocellular or luminance sensitive P parvocellular neural pathway (including stages in LGN *lateral geniculate nucleus* and in cortex). Inputs to M pathway are provided by neural cells located in peripheral retinal area. Corresponding neural receptive fields are relative large and neighboring receptive fields are overlapping each other. Inputs to P pathway are provided by neural cells in the central retinal area and corresponding neural receptive fields are smaller. There is a difference between signal speed of M and P pathways' neural activity transfer. Actually adaptation depends very seriously on the complexity of neural interconnections and of neural cell chemical processes. Moreover the size and form adaptation is determined by neuronal cell interconnections and their rearrangement during adaptation phase – a typical example of that is binocular fusion of two eye images within the retinal Panum's fusional area.

On the premise that all neural activities are going either within P or M pathways one would

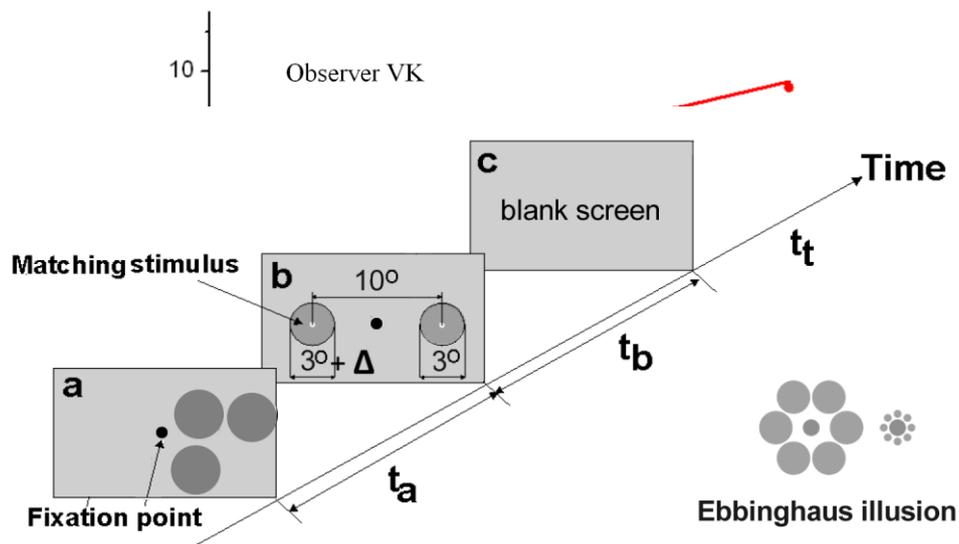


Fig. 3. Scheme and time course of experimental studies of dynamical size adaptation with moving around adaptation stimuli on screen **a** ( $t_a$  and  $t_b$  – adaptation, and subjects response phases, respectively). Insert in left corner shows Ebbinghaus illusion used for size adaptation comparison when activated retinal area is dynamically changing and is static as in Ebbinghaus illusion case.

predict a difference in: strength of illusion, firstly; and time of adaptation, secondly (for both cases - either stimuli are equiluminant or isochromatic).

Results of dynamic size adaptation revealed that the strength of adaptation of isochromatic (activation of M inputs) stimuli is stronger comparing to adaptation of equiluminant stimuli. The adaptation differs by factor 1.4 when comparing two “background-stimuli” pairs: brighter gray and darker gray (located along central vertical axis of  $L^*a^*b^*$  color space) pair and reddish-greenish (placed horizontally in  $L^*a^*b^*$  color space) pair. Pairs’ stimuli mutual color contrast  $\Delta K = \sqrt{(\Delta L^*)^2 + (\Delta a^*)^2 + (\Delta b^*)^2}$  was kept constant. This size adaptation process also obeys to exponential law and has the characteristic time  $\tau$  longer than characteristic time for adaptation processes where is no need to spatial adaptation. Fig.4 shows adaptation time course for red-green case.

The mentioned previously experiment where adaptation happens in time range of measurement method was compared with similar size adaptation to static target – Ebbinghaus effect (Roberts et.al., 2005; van Ittersum and Wansink, 2012). Here the within the size adaptation process brain uses also previously acquired knowledge to make shift in decision about stimuli size. In all previously described cases the physiological effects dominate over psychological, comparing two disks with different surrounding – number of smaller or larger disks located symmetrically to the center of symmetry. Ebbinghaus illusion induces sense of relative increase of the size of disk with number of smaller surrounding disks. In our experimental trials the observer should evaluate the size of variable central disk surrounded by larger diameter outer disks, comparing it with constant size central disk of neighboring set of disks.

It was prospective that during this variation of Ebbinghaus effect neurons in the brain visual areas still underwent considerable connectivity reorganization, that will lead to time dependent induction of shift in size evaluation during adaptation.

Results reveal notable difference in adaptation character. Firstly adaptation is much stronger comparing to adaptation to moving stimuli without surrounding. Fig.5 shows comparison of the psychometric curves of the perceived disk size shift for experiments with dynamic moving adaptation

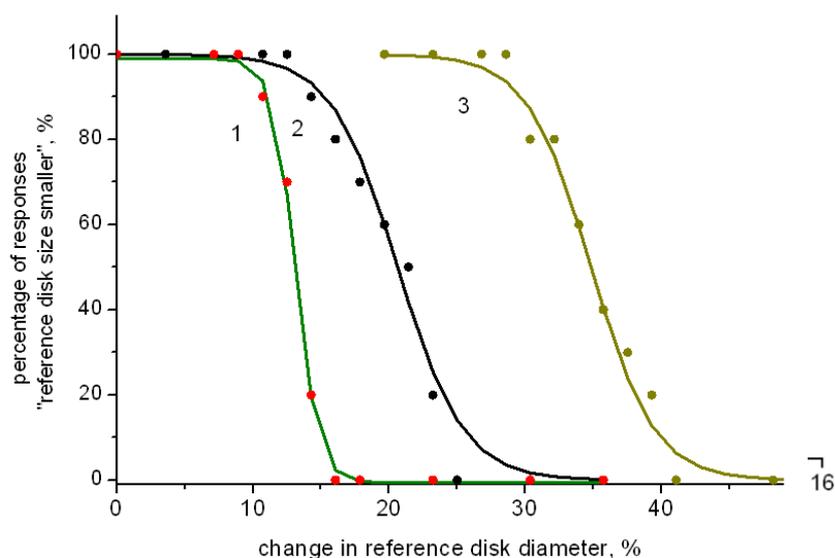


Fig. 5. Psychometric curves obtained for experimental trials of decreasing of perceived test disk size after adaptation to larger dynamical moving stimuli (equiluminant colour stimuli – curve 1, isochrome stimuli – curve 2) and increasing of perceived test stimuli size after adaptation to Ebbinghaus illusion stimuli (curve 3).

stimuli (curves 1 and 2) and for static central disk in Ebbinghaus effect (curve 3). The perception shift in the latter case is doubled. Secondly, adaptation occurs almost momentarily, taking into account time resolution of experiment. No remarkable time course is observed in evaluation of disk size in the time range of experiment.

### **Conclusion:**

We conclude that input to magnocellular visual pathway dominates over parvocellular input in size adaptation to dynamically moving adaptation stimuli. Time dependence of this adaptation is slower comparing with adaptation processes when spatially resolved activation of retinal and cortex neural circuits is minimized – f.e., static colour purity, retinal and cortex contrast amplification. We assume that in these cases physiological effects in neural cells dominate over psychological effects. Perception of disk sizes (both in equiluminant and isochromatic condition) in Ebbinghaus visual illusion in its turn reveals: stronger effect, much faster adaptation, weaker dependence on stimuli color and contrast. We hypothesize that dynamic size adaptation lays at visual areas much earlier than perception processes in Ebbinghaus illusion, that can be held as “top-down” perception case.

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## TAKING DISCOVERY IN THE EUROPEAN UNION

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### Abstract

To foster international cooperation for taking evidence abroad in the new European Space of justice, the Regulation 1206/2001 has open two different ways. But is it not clear enough which is the treatment given to discovery, because it is not a method for obtaining evidence overseas, rather, a procedure put in place to search for the relevant material evidence which will allow the parties to access any information deemed necessary in proving the facts in a case (see above). It should be mentioned Tedesco Case, which never reached the ECJ as the proceedings which gave rise to the prejudicial question had ended (AUTO 27th September 2007). Nevertheless, the Advocate General made a statement in her conclusions: the refusal (by the authority of a member State) of the taking of evidence requested by the European authority was not thought to be justified.

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**Key words:** Means of instruction, evidence, proof, taking of evidence abroad, judicial cooperation, international cooperation, European Space of justice, discovery

### Introduction

The lack of clarity surrounding the concepts used when referring to international aid available for obtaining evidence is related to the different views of the process (structure, phases, intervention of the judge, the parties etc.) present in the various legal systems and above all in the ideas of *common* or *civil law*. This can be noted in the case of *discovery*, characteristic of the former. In this sense discovery is not a measure or an act of instruction, rather it has to do with disclosure, which means to expose, reveal information, elements, data etc. For this reason, obtaining (or producing) evidence abroad through the discovery procedure cannot be confused as the latter involves the disclosure of data, elements etc. which were not known until the beginning of the investigation.

### The Aim Of Discovery

Discovery is not proof or evidence in itself. It is rather a procedure put in place to attempt to ascertain the material evidence and information deemed necessary to the plaintiff in the preparation of a lawsuit. It does not imply the discovery of evidence (understood in the procedural sense), but rather items, documents or any other type of support that can be used as evidence in the proceedings. It constitutes the search for material evidence rather than taking evidence, as laid out in civil law systems.

Discovery can also be used to obtain the testimony of a person who will not be attending the trial<sup>1</sup>. It is worth noting here the differences in the practice of discovery in the British and North American legal systems. In the former, discovery can only be requested when the interested party specifies the material to be examined and shows the relevance this material may have in the case<sup>2</sup>. Moreover it is important to point out the difference between: “discovery of indirect material” and “proof or direct material”, those materials which are to prove or disprove the facts in issue<sup>3</sup>.

Furthermore, although discovery takes place at the beginning of a trial, before proceedings really begin, the differences between legal systems can be vast, and situations of *lis pendens*, for example, may occur, depending on when discovery is requested, (after presentation of the plea but before trial), at the discretion of one legal system or another. Notwithstanding, discovery is compulsory and begins “after pleadings have been exchanged”<sup>4</sup>.

So, discovery occurs before the trial (for this reason it is referred to as pre-trial discovery), and among its many functions is that of avoiding surprises during the trial when a lawyer from either side asks the other for certain ends. This is important in that it denotes the way in which a trial develops (“*one day in the court*”), and the capacity of each side to convince the court, which holds great sway in these legal systems. All material evidence must be well prepared before a trial begins, if

not, at the time of the trial, the lawyer can or will lose the case<sup>5</sup>. If new elements (proof, events, etc.) are discovered later on, in the eyes of the court the trial will be lost<sup>6</sup>.

It is also important to understand the difference between the request for discovery and that of “production of documents”. In the first case, what is being requested are documents already in the hands of the defendant, whereas in the second, the plaintiff is authorized to request testimony from the accused (that they “produce” evidence, from which the term “production of documents” stems)<sup>7</sup>. Please note also that in linguistic terms and, above all, in the English language, different terms exist to refer to the different ideas, namely *gathering evidence* and *discovery*<sup>8</sup>.

One of the main differences between *discovery* and other means of instruction (confession etc.) is that the first is an authentic line of investigation, through which not only is proof obtained but also any other information necessary for opening up further inquiries if relevant. At the same time, the option of obtaining all kinds of material evidence is more realistic during the discovery phase than during the actual trial. This can lead to situations in which certain pieces of material evidence collected during the discovery phase will not be accepted as proof during the trial<sup>9</sup>.

Finally, England and Ireland are two of the common law countries where discovery is better developed, or where more power is given to the procedure<sup>10</sup>. However, on understanding the differences between the North American and British legal systems regarding discovery it is worth examining whether there are any clear disadvantages in accepting this practice in Europe between the Member States, on the one hand and, on the other, whether discovery really is an unknown procedure in civil law<sup>11</sup>.

### **Does discovery exist in civil law systems?**

The main difference between the rules of procedural law in common and civil law systems lies not only in the amplitude of the so-called pre-trial phase but also in the faculties which correspond both to the parties and to the judicial authority in the application of discovery (whether for investigation or discovery) in finding material evidence<sup>12</sup>. Besides this, not all jurisdictions belonging to civil law have the same characteristics - a fact repeatedly highlighted by those authors who deal with comparative procedural law-; neither do those belonging to common law, although similarities between the two systems can exist in some instances.

On the other hand, in civil law systems, there is no need to apply discovery, given that proceedings tend to be written rather than oral, and therefore there is no tacit or strategic advantage to be gained from applying the element of surprise<sup>13</sup>. Thirdly, although a phase similar to that of pre-trial (beginning with the allegations or pleading) does exist in civil law systems, the investigative powers offered to the parties are minimal when compared to those corresponding to the parties in common law systems. This attribution of greater powers to investigate and look for material evidence offered to the parties under the concept of common law could be related to the fact that the judge has less power to conduct the trial, at least in the preliminary hearings<sup>14</sup>.

Notwithstanding, the doctrine states that, although in both the French and the German legal systems, mechanisms and records exist which are similar or which perform the same function as the American pre-trial discovery, the techniques present in these legal systems for finding the truth (discovering material evidence) are not comparable to those laid out in American law<sup>15</sup>. Furthermore, the possible advantages to companies of the rules regulating the discovery procedure in the USA have been pointed out, among others the possibility for “*discovery shopping*” (see below)<sup>16</sup>.

In German law, although the judge is not responsible for providing evidence, in accordance with the dispositive principle of the parties over the trial (*Verhandlungsmaxime*), since 1933 a series of provisions have been included in the Civil Process Code of 1877 (*Zivilprozessordnung*), stipulating that the parties must make complete and truthful statements on the facts of a trial<sup>17</sup>. Furthermore in 2002 an important reform was brought into power, to allow for the production of documents through an autonomous process. (art. 142 ZPO)<sup>18</sup>.

It has been noted however that there is no real correlation between this procedure and the Anglo-Saxon discovery procedure, in that it is not probing in character<sup>19</sup>. In Austria, discovery is to be applied only so as to allow each party to bring to the trial the material evidence they deem relevant in defending their own arguments. Neither in Belgian law can we find a process comparable to discovery as seen in Britain.

Finally, Italian law stipulates the possibility to “*produrre la prova*” (produce the evidence) in article 184 of the CPC (Codice di Procedura Civile, or Code of Civil Procedure)<sup>20</sup>. Numerous reforms

have been proposed, following those put in place in France (with the introduction of the *de réfère* procedure), proposed by the Vaccarella Commission<sup>21</sup>. Such modifications are related to the summary judgement (*provvedimento sommario*) at corporate level, which allows the parties (or their lawyers) to develop an articulate pre-trial agenda (*istruttoria pre-giuduziale*) relating to the upcoming trial<sup>22</sup>.

### **The practice of discovery in Regulation 1206/2001 and in the Hague Evidence Convention of 1970**

#### **The controversial article 23 of the Hague Evidence Convention of 1970**

Investigations into the existence of material evidence to prove the facts alleged by the parties in a case brought to light abuses in the system which led the British delegation to propose late in the negotiation of the Convention- the possibility of making a reservation in Article 23 of the Hague Evidence Convention (HEC), 1970, whereby: “A Contracting State may at the time of signature, ratification or accession, declare that it will not execute Letters of Request issued for the purpose of obtaining pre-trial discovery of documents as known in Common Law countries”<sup>23</sup>.

The main doubts brought to light by the application of this article refer to its genesis, and to its different interpretations, depending whether it is seen from an American or a European standpoint. For these reasons it can be said that the article has raised much controversy, frustrating to some extent the expectations of the States involved<sup>24</sup>. In principle, the objective of the reservation was to avoid having to execute overseas warrants through the discovery procedure, when attempting to attain information in the pre-trial phase of a hearing, or when dealing with information which had not been indicated in the warrant<sup>25</sup>.

Another objective of the reservation was that of limiting the discovery requests coming from the USA, who also formed part of the HEC of 1970, due, precisely, to the different interpretations at play in their jurisdictions. Moreover, it was put in place in an attempt to avoid the so-called “fishing expeditions”, or the obtaining of evidence without concern for an individual’s fundamental rights or guarantees, not only relating to the trial but also more generally speaking<sup>26</sup>.

In particular, this reservation highlights the difficulties mentioned in the House of Lords sentence in the Westinghouse case (In re “Westinghouse Electronic Corporation Uranium Contract Litigation”) laid down in 1978, and debated in the meetings of the special commission responsible for supervising the application of the afore-mentioned Convention<sup>27</sup>. In this case the response of the British High Court to the petition for an American Letter of Request was that this was not applicable to its execution.

The fact that the State addressed executes the afore-mentioned reservation provided in article 23 of the HEC of 1970 does not necessarily mean that a request cannot be processed – through the Convention – for evidence to be obtained. This process can take place even before the procedure begins, in the so-called pre-trial phase.

By contrast, the text of the HEC of 1970 clearly indicates that the execution of procedures for obtaining evidence will be employed to bring the evidence obtained overseas into the proceedings which have already been initiated or will be initiated in the future by the State of execution. This is worth bearing in mind when analysing which aspects actually were to be exempt from the pre-trial discovery of documents, according to the proposal of the British delegation, as even for those States who have carried out the reservation, the documents may not have been totally excluded<sup>28</sup>.

It is necessary here to clarify the possible reach, as well as the limitations, which can come up when applying the discovery procedure overseas, that is to say when one of the States, members of the HEC of 1970, makes a request to another, regardless of whether or not they have made the reservation set out in article 23. To this end, the Westinghouse Electronic Corp. case is interesting for a number of reasons when trying to answer this question (although the Letter of Request was not granted via conventional methods), as are the observations made by the doctrine when relating the overseas discovery procedure with international competition<sup>29</sup>.

Initially, it may appear that the practice of discovery overseas means accepting that one State gets to exercise its judicial function on another State’s territory, a practice which would go against their “judicial sovereignty”, constituting a classic limit to the realization of evidence overseas, and which is covered by article 12 of the HEC of 1970<sup>30</sup>. This condition for enabling the execution of a Letter of Request is related to the traditional vision that the rules of procedure have an obvious public character and, for this reason, the obtaining of evidence constitutes above all a task for the judicial authorities.

Furthermore the taking of evidence overseas may go against national interests, or endanger national security, especially when dealing with issues of interest for the State. However these are not valid reasons to impede the practice of discovery overseas according to the HEC of 1970. Quite the contrary, the Report on the work of the special commission on the operation of the Convention of 18 March 1970 on the taking of evidence abroad in civil and commercial matters (prepared by the Permanent Bureau, at its meeting in June 1978), explains that the use of the reservation must be limited to those cases where the Letter of Request lacks sufficient explanations, leading to the impossibility of identifying the documents called upon to be obtained or examined<sup>31</sup>.

Relating to the second question, many academic writers have considered that the possibility of using the discovery procedure must not be limited to those legal systems where it is already in place, as the excesses which have taken place in the use of this procedure are due to other reasons. In other words, the question of whether or not the use of discovery is excessive does not derive from its workings (given that cases do exist where its implementation is necessary in clearing up the facts), rather in an abuse of the exercise of jurisdiction. Thus one could draw the line at the use of discovery overseas if the competence of the State authorities is exorbitant, when a case has minimum contact with the Forum.

### **The treatment of discovery in EC Regulation 1206/2001**

There is doubt over whether discovery can be considered an instructional activity, given that it is not a method for obtaining evidence overseas, rather, a procedure put in place to search for the relevant material evidence which will allow the parties to access any information deemed necessary in proving the facts in a case (see above). Besides, the expression “*tout acte d’instruction*” taken from French law, cannot be interpreted to also include discovery (the investigation or discovery of material evidence), as the concept of discovery as such is alien to this legal system<sup>32</sup>.

There are certain academic writers who consider that discovery is indeed included in EC Regulation 1206/2001, although not expressly mentioned as it is not considered to be useful. This is because the United States is not a member of the EC. The relevance of this statement is that the main difficulties in the use of discovery stem from the differences in its perception from the viewpoints of the Member States (and in particular Great Britain) on the one hand and the United States on the other<sup>33</sup>. In a somewhat more nuanced fashion, and on carrying out a full interpretation of the entire Community law, discovery is not considered to include instructional activities. Its aim is also not to give evidence; rather it is exploratory, or related to the actual search for sources of evidence<sup>34</sup>.

Along these lines the Advocate General made a statement in her conclusions presented on 18th July 2007 in the Tedesco case, which never reached the ECJ as the proceedings which gave rise to the prejudicial question had ended (AUTO 27th September 2007). In particular, the refusal (on the part of the relevant British authorities) of the taking of evidence requested by the *Tribunale civile di Genova* was not thought to be justified. The requested order for a description of goods was not considered to be covered by EC Regulation 1206/2001.

On the other hand it is important to point out, as mentioned in article 1, 2. of the EC Regulation (“*evidence which is not intended for use in judicial proceedings, commenced or contemplated*”) the distinction between two situations. In the first instance, an order to produce documents is inadmissible if the documents whose discovery is sought lead only to the identification of items which are capable of serving as evidence but which do not in themselves serve an evidential function in the proceedings (a so-called “train of enquiry” — the inadmissible search for material which may be relevant as evidence)<sup>35</sup>.

Secondly, an order to produce documents which are discovered only upon execution of the order is admissible, if such documents are specified or described with sufficient precision and are directly linked to the subject-matter of the dispute. In particular the order of the Italian court serves the purpose of discovery of that evidence<sup>36</sup>.

Finally, other ways to impede the request for discovery overseas exist, such as in those cases where the overseas decision is not to be recognised as the use of the discovery procedure has been abusive.

### **Conclusion**

Although there is no direct reference to discovery in the Regulation 1206/2001, it cannot be denied that the concept falls within its material scope. This is because the Regulation not only

includes the obtaining of evidence overseas pertaining to trials which have already been initiated, but also those contemplated, and as shown *supra*, discovery takes place in the pre-trial phase.

<sup>1</sup> In fact when it first originated, this practice was mainly used to avoid loss or disappearance of evidence, in an historic context where the distance between the litigants and the administrators of justice was wide on the one hand and, on the other, the amount of time which passed between the trial and the moment when the events took place was large. See, RAGLAND, G., *Discovery before trial*, Callaghan and Company, Chicago, 1932, pp. 13 onwards.

<sup>2</sup> For this reason, the British delegation opposed the use of *discovery* in its wider sense, bringing into play article 23 of the Hague Evidence Convention of 1970. For more details, GERBER, D.J., «Extraterritorial Discovery and the Conflict of Procedural Systems: Germany and the United States», *AJCL*, 1986, vol. 34, pp. 781 onwards.

<sup>3</sup> See, COLLINS, L., «The Hague Evidence...», *loc. cit.*, p. 298.

<sup>4</sup> See, CAMPBELL, D., *Serving...*, *op. cit.*, 1998, p. 458.

<sup>5</sup> In other words, if the plaintiff does not manage to prove that which is requested, they lose the case. If there is insufficient proof, this fact is not overlooked, rather the trial is lost immediately. Please see, MURPHY, P., *Evidence and Advocacy*, 5<sup>a</sup> ed., 1998, pp. 1-23.

<sup>6</sup> Along these lines, one principle governing evidence in English law is that "a party cannot be caught out during the trial". For more details please see, D. CAMPBELL, *Serving...*, *op. cit.*, p. 459.

<sup>7</sup> Please refer to, Levine, J.B., *Discovery...*, *op. cit.*, pp. 44-48.

<sup>8</sup> For more details see, COLLINS, L., «The Hague Evidence...», *loc. cit.*, p. 338.

<sup>9</sup> In any case, the discovery procedure does not constitute merely a set of rules which regulate it, rather it is covered by its own individualised scientific and legal terminology, the *Law of Discovery*, being independent from, and not to be confused with, *Law of Evidence*. Please see, SIMPSON, R. WM., *Civil Discovery and depositions, Trial Practice Library*, 2nd ed., Wiley Law Publications, New York, 1996.

<sup>10</sup> See, CAHILL, E., *Discovery in Ireland*, Sweet and Maxwell, Dublin, 1996.

<sup>11</sup> For a detailed study of the differences and similarities between the practice in the USA and Britain please see, LEVINE, J.B., *Discovery. A Comparison between English and American Civil Discovery Law with Reform Proposals*, Clarendon Press, Oxford, 1982; CLARK, D.S., «Chapter 16. Civil Procedure», *Introduction to the law of the United States*, Edited by D.S. Clark and T. Ansay, Kluwer, 2002, pp. 374 onwards. This author indicates that it may appear surprising that the system in place in the USA has more in common with the Germanic tribes than with that which exists at present in Germany (documentary and written).

<sup>12</sup> In fact one of the main doubts surrounding the reform of article 142 of the German *ZPO* which entered into force on 1st January 2001 (*Bundesgesetzblatt*, 2001, I, 40, pp. 1887 onwards), was fear of conceding excessive power to the judge, similar to the American procedure of *discovery of documents*. Please refer to, DI FAZZIO, G., «La riforma dell'esibizione di documenti nel processo civile tedesco», *RTDPC*, 2006, p. 154.

<sup>13</sup> The doctrine states: "*discovery is less necessary because there is little, if any, tactical or strategic advantage to be gained from the element of surprise*" (véase, MERRYMAN, J.H., *The civil law...*, *op. cit.*, p. 113).

<sup>14</sup> In the doctrine, G. HAZARD addresses the differences in the roles played by the judge and the parties in the presentation of evidence (please see "Discovery and the rule of the judge in civil law jurisdictions", *NDLR*, 1993, pp. 1019 onwards). Please see also; GLASSER, C., "Civil procedure and lawyers. The adversary System and the Decline of the orality Principle", *MLR*, 1993, pp. 307-324.

<sup>15</sup> Please refer to, VON MEHREN, A./ RUSSELL GORDLEY, J., *The civil law System*, Little, Brown and Co., Boston and Toronto, 1977, p. 1158.

<sup>16</sup> Article 1782 of the United States Code allows all American courts to adjudicate all proceedings or existing instructional techniques in American procedural law at the request of a foreign judicial authority, including discovery. Please see, LEGUM, B., «Discovery in aid of foreign proceedings provided by United States Courts», *RDAI*, 1998, núm. 7, pp. 747 onwards.

<sup>17</sup> However it is not considered similar to discovery. For more details, NADELMAN, K.H., «De la preuve en Droit allemand», *Bulletin de la Société de législation comparé*, vol. 68, 1939, pp. 173 onwards.

<sup>18</sup> The revised article 142 of the *ZPO* states that the showing of documents is a procedural duty. For more details, DI FAZZIO, G., «La riforma dell'esibizione di documenti nel processo civile tedesco», *RTDPC*, 2006, pp. 143 onwards.

<sup>19</sup> *Ibid.*, p. 154.

<sup>20</sup> Please refer to, COMOGGIO, L. P., «Istanze istruttorie e poteri del giudice ex art. 184 CPC», *Riv. Dir. Proc.*, 1999, pp. 989 onwards.

<sup>21</sup> See, among others, CECHELLA, C., «Il rèfèrè italiano nella riforma della società», *Riv. Dir. Proc.*, 2003, pp. 1130 onwards.

<sup>22</sup> Please see, RICHI, E. F., «Verso un nuovo processo civile?», *Riv. Dir. Proc.*, 2003, pp. 221-223.

<sup>23</sup> And in particular, the Spanish government carried out the following reservation: “Spain does not accept the Letters of Request deriving from the pre-trial discovery of documents procedure, as recognised in common law countries”.

<sup>24</sup> Thus the sense of this disposition may be interpreted differently depending on whether it is analysed from an American or a European perspective, due to the different interpretation of proceedings present in each of these jurisdictions. There is a detailed analysis of this idea in COLLINS, L., “The Hague Evidence...”, *loc. cit.*, pp. 289 onwards; y GERBER, D.J., «Extraterritorial Discovery and the Conflict of Procedural Systems: Germany and the United States”, *AJCL*, 1986, vol. 34, pp. 781 onwards.

<sup>25</sup> The doctrine states that the objective of the reservation was to limit the cited discovery orders used in gaining documentary evidence in the pre-trial phase, and to avoid executing decisions based on discovery with a general character. (Please refer to NAISH, J./THOMAS, R., “United Kingdom”, *The Comparative Law Yearbook of International Business*, Special Issue, 1998, p. 462).

<sup>26</sup> See, EDWARD, D.M., “Taking of Evidence abroad in civil or commercial matters”, *ICLQ*, 1969, vol. 18, p. 650.

<sup>27</sup> The decision is published in *WLR*, 1978, vol. 81 and also appears in *International Legal Materials*, 1978, vol. 38.

<sup>28</sup> See, SCHORE, L./SMITH, H., “Making applicants take evidence properly: challenges to letters of request”, *ICL*, 1998, pp. 41 onwards.

<sup>29</sup> For an overview of this matter please see, OXMAN, B.H., “The choice between direct discovery and other means of obtaining evidence abroad: the impact of the Hague Evidence Convention”, *University of Miami Law Review*, 1983, vol. 37, pp. 733 onwards.

<sup>30</sup> In the Westinghouse Elec. Corp. case the argument of sovereignty is used to prevent the execution of the discovery order. Please see, COLLINS, L., “The Hague Evidence...”, *loc. cit.*, p. 347.

<sup>31</sup> Please refer to, *Report on the work of the special commission on the operation of the Convention of 18 march 1970 on the taking of evidence abroad in civil and commercial matters*, June 12-15, 1978 (prepared by Permanent Bureau), *International Legal Materials*, 1978, vol. 17, p. 1428.

<sup>32</sup> Please see, COLLINS, L., “The Hague Evidence...”, *loc. cit.*, p. 303.

<sup>33</sup> Please refer to, LEBEAU, D./NIBOYET, M.L., “Regards croisés du processualiste et de l’internationaliste sur le Règlement CE, du 28 mai 2001, relatif à l’obtention des preuves civiles à l’étranger”, *Gaz. Pal.*, Jan-Feb 2003, p. 225.

<sup>34</sup> Therefore, discovery is not considered to include: the procedural investigations, which lack a clearly specified objective; the inquiries for proof, which do not have a previous definition of the *thema provandum*; the investigative activity which, rather than as a control supporting a situation which has actually already been defined and before the possibility of linking legal consequences to it, serves to find facts or information relevant in defining the object of contention. (véase, TROCKER, N., “Note sul Regolamento...”, *loc. cit.*, p. 680).

<sup>35</sup> In such cases, the evidence is used merely indirectly. Accordingly, the condition, as stated in article 1, 2. of the EC regulation “for use in judicial proceedings” is not satisfied. (Please see Opinions of the Advocate General, as quoted above; marg. 72).

<sup>36</sup> Particularly, the request of the Italian court is admissible, in that the requested evidence is intended to be used to allow the plaintiff to prove the existence of a patent infringement as such, the extent thereof and, accordingly, to quantify his damages claim. (*ibid.*, margs. 73-74).