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THE CONSCIOUS CORPORATE GROWTH PRACTICE (CCG). A QUALITATIVE RESEARCH AIMED TO VERIFY THE APPLICATION OF VIRTUE ETHICS IN BUSINESS

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Abstract

Alienation at work is one of the most pervasive phenomenon of the post-industrial society and management in both the private and public sectors are engaged in a constant struggle against it. In this paper, we suggest that Reflective thinking can emphasize informal learning and personal vision through the investigation of the intentions that sustain both personal and company's actions and both individual and collective behaviours. This practice is suggested to enhance the degree of awareness in the organization and to shed light on the level of influence and on the mutual relationship with the environment. (Carrassi, 2013)

This is the product of the activation of a fruitful relationship between all the variables of the business environment, that lead to economic prosperity, satisfaction and simultaneous fulfilment of individuals, stakeholders, and the environment.

The present study, through a qualitative research approach, aims to examining the hypothesis of the Conscious Corporate Growth practice. Two companies were interviewed. The research focused on investigating issues related to virtue ethics as a practical approach to business management. To meet these objectives, seven major areas of inquiry were examined

A number of interesting patterns of results were revealed through the content analysis of the responses. Based on the results, the *worth* of the CCG practice has been confirmed in regards to its application to small family business. A series of propositions stimulate future research efforts.

Introduction

Whether a company should be treated as a person has been the subject of ongoing debate, often related to the nature of moral agency, but one cannot deny that companies are composed of people and people are fundamental for the existence of the company.

The human being is the element that gives birth to the company and that feeds its growth, through a combination of tangible and measurable inputs (investments, work time, work efforts) and intangible inputs (creativeness, emotions, willingness). Human beings also define the culture, the orientation of the core strategy and the governance prerogatives of the company. Therefore, in order to investigate the manifestations of existence of a company, one must bring attention to the concept of a person and their life.

Traditional economics and management studies have based their theories on a abstract concept of individual, the rational economic man (*homo oeconomicus*). The man, considered as an individual, is closed in itself, atom between atoms, isolated and independent from others, with absolute freedom; he associates himself with others for the necessity to pursue his own interests.

The real person, by contrast, cannot find fulfilment in itself alone, regardless to his or her being "with" and "for" others. The person is unique and is open to the totality of relational and social reality. Being a "person" means to relate to others and to seek to be the bearer of

virtues and values, in order to realize the true and the good as an individual and in a community. A person is characterized by the quality of self-knowledge that can make virtues emerge and develop.

In this sense the company is based on interaction between people and can be considered an intimate expression of the will and the values of the people who have given birth, who operate and who gather around it. In other words, it is an inseparable whole with the overall context.

Therefore, although is fundamental to investigate on what the company does, why it does it, how it does it and what it should do, it is also essential to understand *what the company is*, which values are expressed by the people who compose it, what are the values of the stakeholders, and what is the degree of awareness by the organization of its influence on the mutual relationship with the environment.

Automatic and unconscious decision making

Choosing to focus on what is the essence of the company means to start a process of self-knowledge that leads first to understand and then to accept to what extent the personal habits, the ideas and the beliefs of individuals guide the choices of the organization. By doing so, the persons within the organization become aware of a sense of unity and Integrity that foster cooperation and problem solving. This activates the progressive consolidation of the cohesion of the organization that takes form as corporate personality. As Chun says "Organizational virtues are ethical characters of organizations that can be operationalized using human personality traits validated as corporate personality".

Therefore, at the organizational level, virtues are ethical character traits that are learnt from an accumulative perception of a firm's behaviour in everyday business life. (Chismar, 2001)

Taking this analogy one step further, companies can be seen as systems where people are cells of a bigger entity and not just a cog wheels or nodes of a computer network. Stakeholders are more than just parts of a mechanism oriented towards the economic and financial growth mechanism: they are individuals whose qualities and competence redefine the form, the function and the results of the business system as they do in Beyers and Lagenberg's description of a respect-driven stakeholder practice (Beyers and Lagenberg, 2010).

This does not imply some form of strict determinism, but the investigation of the extent to which the environment impacts on everyone's behaviour and choices. By doing so one may discover that the level of influence is greater than we tend to recognize.

As Shön argues there are actions, recognitions, and judgements which we know how to carry out spontaneously; we do not have to think about them prior to or during their performance. We are often unaware of having learned to do these things; we simply find ourselves doing them. In some cases, we were once aware of the understandings which were subsequently internalized in our feeling for the stuff of action. In other cases, we may never have been aware of them. In both cases, however, we are usually unable to describe the knowing which our action reveals. (Schön, 1983)

Kahneman *and Tversky* discovered systematic errors in the thinking of normal people: errors arising not from the corrupting effects of emotion, but built into our evolved cognitive machinery. (Tversky and Kahneman, 1986)

He describes two different systems at work: System 1 and System 2. System 1, is our fast, automatic, intuitive and largely unconscious mode, System 2, by contrast is our slow, deliberate, analytical and consciously effortful mode of reasoning about the world.

Kahneman suggests that, by knowing how the two systems work together to shape our judgments and decisions, it is possible, to better understand the importance of properly framing risks, the effects of cognitive biases on how we view others, the dangers of

prediction, the right ways to develop skills, the pros and cons of fear and optimism, the difference between our experience and memory of events and the real components of happiness. (Kahneman, 2011)

This opens a new dimension of investigation that allows us to understand and recognize that the choices of a company are often driven by automatic and unconscious processes of action, supported by habits and by schemes of reaction and behaviour not aligned to any ideal value but simply oriented to face a morally sterile competitive game through an egoistic personality.

The more the process of self-knowledge is developed, the more the company can recognize its current situation to move harmoniously towards virtuous goals.

Based on the above consideration, through a self-reflective approach, people and therefore organizations, develops the capacity to behave in a virtuous way, enhancing integrity and improving the relationships and the contribution to society and the environment.

In present society is easy to observe a growing level of dissatisfaction.

Conscious Corporate Growth as a vehicle to nurture virtues in organizations

It was Karl Marx who first proposed that alienation at work represents a loss of individuality, and that such a loss is essentially an undesirable state for the individual and the society at large. Organizational conditions leading to the loss of individuality deprives the workers of self-fulfilment or the realization of who they are or what their essential nature is. Alienation is a form of sickness that can, and should, be avoided. The concept of alienation identifies a certain type of dysfunction that represents an "unnatural separation" between oneself and what one produces such that what one produces dominates it's maker. (Corlett, 1988)

The doctrine that everyone is a utility maximizer is usually stated in a way that makes it equivalent to psychological egoism. The noun "Ego" is derived from the equivalent Latin pronoun which means I, in the sense of one's identity, or rather the measure of the identification with a form (social role, job, status, goods and so on). According to this concept everyone is motivated to look after his or her own perceived best interest, supported by his or her conscious or unconscious will of separation from others and from the context.

People have almost everything but are not satisfied because spending choices are not making them happy and healthy as they could. (Frank, 1999)

People believe that the artificial world could satisfy every need, but the reality has shown that we made only one move on a higher need accompanied by a higher level of dissatisfaction. Furthermore, while living in a highly urbanized society characterized by an endless frenzy of real or potential interactions with other people, we often feel terribly alone, or closed in a few family relationships. The dissatisfaction is not therefore just concerned with the tangible result, compared to objects owned or possessed, but also and above all of relational nature.

This constant dissatisfaction affects human behaviour and, as a direct consequence, corporate conduct. Marx suggests that when workers feel alienated and powerless they do not fulfil themselves, but rather deny themselves at work. They have a feeling of misery rather than well being. Instead of developing their mental and physical energies, they feel physically exhausted and mentally debased. (Marx, 1932)

The improvement of the exchange of meanings and values among persons and organizations must be sought in a process of change that could strengthen human relations and create a valuable sense of unity.

These are valuable for themselves, as internal goods, not solely as external goods contributing to reputation and profit. The improvement process enhances the degree of awareness in the organization and sheds light on the level of influence and on the mutual relationship with the environment. (McIntyre, 1985)

Such attention placed both on interpersonal relationships among the people who operate within and outside the company, and on the analysis of the various environments with which the company interacts, can become the continuous practice of Conscious Corporate Growth. (Carrassi, 2013)

Conscious Corporate Growth (CCG) is a *practice* (in the McIntyrian sense) that can facilitate the understanding of how the values expressed by the people who compose it can be recognised and oriented to virtuous outcomes.

Individual's choices have to emerge from well-developed reflective judgment. If we want corporations to act in ways that are morally, socially and ecologically sustainable, we need them to contain individuals who act with integrity on the basis of well-developed reflective judgment.

CCG introduces elements of reflective thinking that can emphasize informal learning and personal vision through the investigation of the intentions that sustain both individual and organizational actions and behaviours.

The starting point of the CCG practice is to recognize that our culture is based on a collection or body of abstract principles translated into our day-to-day behaviour. That is, we all have a set of almost instinctive "default behaviours", perhaps programmed into us from infancy, or developed during schooling, or based on religious convictions, or some other source, which represent accepted norms and modes within our local environment and in the organizations in which we operate. As Schön says, "when someone reflects in action, he becomes a researcher in the practice context. He is not dependent on the categories of established theory and technique, but constructs a new theory of the unique case". (Schön, 1983)

He becomes aware of his frames and of the alternative ways of framing the reality of his practice.

Commitment is needed from individual to enhance the collective effort that allows the company to operate profitably and virtuously, in order to contribute to the welfare of each part of the complex business system and society.

The main purpose is to awaken a great effort to provide a depth of meaning, so as to produce, permanent experiences that can balance profit oriented goals, and wellbeing oriented business activities, hence producing virtuous outcomes. As result from this process of change, CCG emphasises the development of moral character through the pursuit of excellence in a practice.

Here CCG makes a direct link to virtue ethics as a framework for responsible management, for virtue ethics is concerned with character rather than with what should be done so as to comply with rules or duty, or with how well the results of the company's actions contribute to the good of society.

CCG for a corporation is a vehicle to foster integrity and to encourage the development of that nature toward virtuous goals, so that not only are the virtues of individual members of the organization enhanced but the organization itself also comes to more clearly or more closely develop a capacity to contribute to society.

The compass of values for strategic decisions

The company does not become good through a specific strategy but instead through finding the good that is already within the organization. This can happen only if there are some fundamental changes in the way the company perceives itself and its surrounding environment that allow this good to be manifested.

The distinctive element is to discover and develop a spirit of unity, which generates the growth of social capital and interpersonal relations rooted in the history and in the culture of the company, contributing, at the same time, to the general improvement of the environments that interact with the company. The result is a positive impact on business

strategies and practices, which extends to the stakeholder's behavior and to the whole society. (Freeman, 2002)

The organization already potentially has everything needed to perform in a virtuous direction. What really drive sustainable actions are the intentions and the virtues linked to them. The process of Conscious Corporate Growth lets the virtues arise and develop their potential through the implementation of the best action possible, in accordance to what its members think that is worth to do. In this manner the action is performed with a high level of attention and responsibility and any mistakes that arise can be identified, understood and used to reorient the action. So as the virtues behind the actions inform the results, so the Conscious Corporate Growth can spontaneously bring to a virtuous behavior.

People can discover and manage how to work in an optimal state of enjoying the activity in itself while they are doing it. Therefore, people can find what they are doing completely motivating and aligned with their personal values, so they do not bother about the passing of time. They are completely immersed in the present because they find meaning in what they do, for the benefit of the overall organizational effectiveness. In other words people within the organization learn how to recognize themselves in their double role of actors and directors, so they start to interact in a most effective way within and outside the company, to build, as direct effect, virtuous relationships.

It can be suggested (Carrassi 2013) that to guide the strategic decisions towards virtuous goals, the individual within the company should set up a compass of values whose cardinal points are determined by the response to four questions related to the choices to be made:

What for?   Who benefits?   What pleases?   Whose needs are met?

Table 1. *The four questions of the compass of value*

sphere of simple answers	What for?	Who benefit?
sphere of reflective thinking	What pleases?	Whose needs are met?

Although at first   sight the   four questions may seem similar, a   closer examination makes it possible to capture some subtle but significant differences. Two of the four questions in the compass of values consider immediate circumstances, and two require reflective thinking on deeper issues.

In particular, the questions in the sphere of simple answers refer to a structured deterministic model of reasoning, while the questions in the sphere of reflective thinking imply a thoughtful critical analysis that leads to take more informed decisions on the basis of an increased awareness.

In   other   words,   the   first group of questions produce answers that   are   likely to reflect an ego-based approach in which the subject is often separated from the decision to be   taken, while   the   second group   produces answers that require a   deeper analysis of the reasons behind a decision and can more likely lead to virtuous results.

The use of the compass of values aims to enforce the commitment in achieving sustainable goals revitalizes the company's vision and strengthens the courage of implementing proactive change. Harris suggests a modified definition of courage in the business world as "success in achieving the desired outcome and effort by the agent". (Harris, 2001)

The two-stage response process can generate a favourable experience that can become established in individual decision making and gradually extend at the organizational level, producing a positive transformation of corporate behaviour.

Following this perspective, a fruitful relationship between all the variables of the system would be spontaneously activated, ensuring practices of excellence that lead to economic prosperity, satisfaction and simultaneous fulfillment for individuals, companies and the environment considered as an inseparable whole.

Qualitative research

The cardinal human virtues inherited from Aristotele have shaped the most common approaches of virtue ethics used in business context, without being modified or empirically investigated in an organizational context. Researchers encounter difficulties in applying the human personality scale in an organizational dimension. (Dyck and Kleysen, 2001)

The absence of a validated measure of virtue ethical character at the organizational level is probably the most critical reason why virtue ethics has not been able to generate strategic implication for a firm, and its practical implication will not just be limited to human behaviour, but also to others aspect as emotional attachment, willingness to take risks, financial performance and stakeholders satisfaction. (Chun, 2005). This paper presents the results of a qualitative research that has been conducted to verify the truthfulness of GCC hypothesis. Qualitative research produces more in-depth, comprehensive information to understand the reasons that govern human and organizational behaviours, as well as the interactions of the different variables in the context.

The research was conduced collecting data from two small companies, one based in Australia and the second based in Italy, which operate in different business sectors.

The two companies included in the sample were chosen on the respect of three specific aspects dependent on the formulation of the main survey objectives:

- *Common start-up experience:* the companies are both the result of a process of change that has led the current owners to leave their previous job and set up a family business. The choice of small size companies is related to the need to start the validation of the CCG practice on a minor scale where the effect of a reflective approach in business management can be more evident. The common process of change that occurred in the two companies is an important condition as we assumed that critical decision are often accompanied with a framework of formal or informal reflective judgment.

These requirements of the sample are important conditions to find answers to the following questions:

Is it possible that some form of GCC practice is already implemented in some companies?

If so, what are the implications of the use of these practices in identifying a strategic role of GCC that may enhance the link between virtue ethical character and business outcome?

- International *prospective*: the two companies operate in two different countries in order to understand if the CCG practice is affected by different cultural orientations.

- *Cross sectorial prospective*: the two companies belong to two different business sectors in order to understand if the CCG practice is influenced by the company belonging to a specific business sector.

The main assumptions of the research are summarized in the following paragraphs:

Conscious Corporate Growth (CCG) is a continuous practice that can nurtures virtue orientation of the company.

CCG enhances the degree of awareness in the organization and sheds light on the level of influence and on the mutual relationship with the environment.

CCG introduces elements of reflective thinking that can emphasize informal learning and personal vision through the investigation of the intentions that sustain both personal and company's actions and both individual and collective behaviours.

CCG promotes personification analogy of the company and fosters the alignment of personal values with virtuous behaviours of the organization.

The practice enforces the commitment in achieving sustainable goals, revitalizes the company's vision and strengthens the courage of implementing proactive change.

Self-generation of sustainability

Activation of a fruitful relationship between all the variables of the business environment, that leads to economic prosperity, satisfaction and simultaneous fulfilment of stakeholders, individuals, and the environment.

As CCG introduces elements of reflective thinking, that can sustain both personal and company's actions, the research also aims to validate the compass of value as a tool to foster the reflective thinking abilities.

Table 2. *CCG questionnaire*

GOODIESON BREWERY	TERRA SESSANA COUNTRY RESORT
1. Business story and emotional implication	
Briefly tell your business story	
I am a trained brewer. I have studied four years at the university and I am specialized in malting and brewing. I have spent twelve years working in one of the largest brewery in Australia. I worked in marketing, developing new beers. I learned about costs and savings, efficiency, cost of production, "screwing the suppliers". I really disliked the company's orientation of saving on ingredients and other cost elements to gain more profits, without giving enough consideration to the quality of its product or to the relationship with its stakeholders. We (me and my wife) have always played with the idea of starting our own business in the brewery sector, but we needed two ingredients: education (university) and experience in the brewery sector. I was happy to work for a large company as long as they gave me challenges and opportunities.	I have worked for 7 years for a company of the integrated water sector (water provider). After a few years I was already tired of my job and I thought with anguish of all the years that were still missing until my retirement. I worked 8 hours a day and punched (badge) entry and exit from work and I have 25 days of holidays per year. Often my work seemed pointless and boring. I felt like a slave. One day I had the opportunity to buy an historic property in the countryside in a touristic area of southern Italy and so, after a period of renovation, I went to live with my family there and I used a part of the property to set up a country resort. Today I have three cottages with private garden and private pools that I rent as holiday homes. By the time I have also started a wine tasting area and I offer traditional dinner with folkloristic live music. I also organize a music festival for my guests and for other people. I like to give to this place an original rural live style touch.
What are your emotions right now?	
Mixed emotion, because I met good people there, but I often thought: "God, if I just do this things in the way that they ask, rather than in a more balanced way this could be a much better place for everybody to work at". I was feeling anger because I couldn't change the environment according with my personal values. I consider the value of the person within the company fundamental to built mutual respect and this was not a shared idea in that working environment.	Relief and Tranquillity. I feel reassured when I look back and I am able to tell the success of my experience.
Can you identify a specific situation that led to your decision to change?	
Around eighteen months before I left, I had a bad accident at work and I was Hospitalized for four months. The company did not consider that event properly and the accident was never investigated. Despite the fact that I could have died in that accident, they didn't show any emotional involvement - *I was considered a number not a person*.	Yes. It is the moment when I saw the advertising for that property and so, with my husband, I was tempted to create my own business in order to change my job and my lifestyle.
What emotions did you feel in that situation?	
Big anger	On one side joy for the opportunity to change, on the other hand I was afraid to chase pipe dreams with no rationality.
How do you rate your decision?	

Very easy / Easy / Difficult / Very difficult	
Very difficult as our financial situation was very good before we started compared with the actual situation	Difficult

2. Level of personal satisfaction before and after the change	
What made your previous work activities before that situation satisfying?	
To work with fantastic people and to do what I like to do (brewery). To test my skill and to make new experiences.	In my previous job I have established friendly relations with my colleagues with whom I was pleased to spend my time. I liked to be able to relate with them and to learn how to interact in different situations.
What made your previous work activities before that situation not satisfying?	
The valuation system of the HR department that did not take consideration of people values, but was more focused on numbers and results. This was a reason of emotional detachment from the company objectives.	A combination of factors. The tedious work, the short holidays spent with the idea of having to return to the office, the fixed work schedules, the idea of depending on others. I didn't like to spend half of my life in the office and I couldn't have the peace of mind to dedicate time to myself and to my personal interests.
In your previous work activity were you able to change your work environment?	
Not really.	Only a small part because my decisions were dependent on others.
What has changed today?	
We have bigger freedom to shape our lives, especially related to our children with whom we can now spend more quality time.	I feel more independent. I can now evaluate and decide by myself what and how to change. I have more freedom and time to take my decisions and I do not have to be accountable to any boss.
Are you satisfied now?	
Yes	Yes
What still makes you unsatisfied in your work environment?	
Our bank account is still not as good as we expected it to be at this stage compared to our efforts. This is not frustration, we are aware that our business is still young and that it can grow to a certain stage.	Nothing, I feel satisfied and sustained by my positive experience. I also think that my actual approach to business can generate further improvements
Do you thing that there is possibility for change in your actual work environment in order to be more satisfied?	
Yes. There are two factors that we can improve in our life: time and money. At the moment, we are very absorbed in the brewery and we would like to dedicate more time to our children. Compared to the past the time we spend with them is quality time, but we want to be more present in their growing up. Therefore we are planning to buy a new bottle filler that will reduce our bottling process from three days to three hours. This will improve our efficiency and reduce our costs, giving us extra time to spend with our children.	Yes, I think I can still improve. I feel that my experience constitutes a kind of living lab that is useful not only for my job, but also to improve my approach to problem solving in general life.
How does the time pressure influence your decisions now? And how was it before your work change?	
Before, I worked a lot of hours and for very long days. I am not the kind of person that make half a job. I felt forced to work to a tight schedule. Now our company still absorbs a lot of time and it is very hard to leave it, because we consider that "me and my wife are Goodieson brewery". We are trying to figure out how to reduce our time commitment as we have realised that we cannot be here at work all of our time. Although our job is still very absorbing we feel really motivated and happy to continue our commitment in the community.	Today I do not feel particularly pressured. Before changing I was living my working time in boredom, in the free time I often felt anxious because I thought that I had to make the most the limited time available to look after my own interests.
Has any change occurred in the time perception compared to the situation before the change?	
We have realised that time is ours and that we are free	Compared to the past, I find that my approach to the

to organize our days. This gives us freedom to manage our business. Before, the time belonged to the company, *"I was owned by them"*.	time is slowed down. It looks expanded, I feel calmer and I am free to manage my time as best as I think. I definitely have more free time.

3. Changes in the scale of values and virtues

Before starting your new business, in what order were the following values placed in your individual sphere?
        Money   Environment
        Family   Leisure
        Social position   Security
        Friends	

Family Security Money Friends Leisure time Environment Social Position	Security Family Friends Money Leisure time Environment Social Position
There is any value missing in the list?	
Internal happiness	No
What is now the order of the above list of values?	

Family
Leisure
Friends
Money
Environment
Social position
Security
	Family
	Friends
	Leisure
	    Environment
	Security
	Money
	    Social Position

To what factors do you attribute this change in your values' scale?	
That accident at work. I could have died and lose everything. That was like a wake-up call. I also saw my children grow fast and I have the desire to be a part of their life.	The changes in my job and in my lifestyle have been determinant. I think that I can now appreciate some values that previously I could not feel fundamental. I believe that this change in my values scale and in my lifestyle have occurred simultaneously.

Choose three of following virtues that today you believe are more present in your life, compared to the situation before   the   change.
 	
  Justice   Happiness
  Wisdom   Fairness
  Cooperativeness   Generosity
  Patience   Courage
  Moderation Prudence	

Generosity Happiness Courage	Courage Wisdom Happiness.
To what factors do you attribute this difference?	
Generosity: I believe that, if we contribute to the wellbeing of the environment and the community, we will receive benefits for our business and for ourselves. *Happiness:* we are doing what we love to do. I personally feel free. *Courage:* Freedom is scary, there are a lot more responsibilities, but we really feel that we are more courageous in overcoming difficulties.	*Courage:* Because I was able to face and overcome many difficulties. *Wisdom:* Because I have understood and partially realized my true potential. I now have more knowledge of myself and of what surrounds me. I believe that changing is like a movement that, in contrast to a stagnant and static situation, allows to experience the real world and to be more in touch with myself, with

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	the others and with the environment. *Happiness:* Because all my life is improved and I feel really satisfied.

4. Improvement of the reflection abilities	
Before and/or during the decision to change, have you made some form of self-reflection or self-analysis?	
Both before and during the change	Both before and during the change
Can you briefly describe it?	
We do self-analysis all the time. At the start we had no idea of what this effort would have produced. We started asking ourselves: "do we really want to do this?", "Are we putting our kids at risk?". We made an informal pro and cons analysis without following any specific model.	I have examined my fears trying to understand and change the thoughts from which they arose. I now understand the difference between some concrete and rational fears compared to other fears that are conditioned by the insecurities of my personal thoughts or induced by the opinions of others. I have conducted an analysis of the pros and cons of my decision. I have conducted an economic analysis of my investment. I have often imagined the future situation in which my goal was realized and then I have tried to analyse my emotions and feelings to consider if there was any difference for the better compared to the baseline situation.
In your values change can you identify a shift from an unconscious behaviour to a conscious behaviour? *(Unreflecting thinking versus reflective thinking)*	
Yes. Regard to our financial situation we have realized that we have lost security and, although this is challenging, it make us be more conscious and reflective in taking decisions.	Yes. In my experience I have realized that I was able to change some fears through deep work on some stratified thoughts that made my choices very difficult and often not feasible. I am now aware that I can better evaluate my decisions without getting blocked by irrational fears. I feel more aware of my ability and I think that everyone can achieve this goal. I am also aware of feeling more satisfied.
Before and/or during your experience have you formulated a strategic intent? Can you describe it?	
Yes. *We want to serve McLaren vale region and contribute to the environment and the community*	Yes. *I want to be free and to demonstrate to myself and to the other that an alternative way of life is possible.*
Have you had moments of uncertainty during the realization of your project?	
Yes, a lot, It was very frustrating, annoying and painful. We were scared	Yes, I was very afraid of not being able to achieve my goals.
How would you describe your experience of these moments?	
The fear of failure. Fear of not being able to achieve our goals.	I thought that my decision was wrong. And that I was not able to achieve my goals. I was afraid of losing money and becoming poor. I felt discouraged and disappointed by the possibility of being forced to give up and return to the previous way of life.
Overcoming these moments have changed your risk propensity?	
No, because we have well calculated the risk.	Yes, I feel more aware of the risks and more prudent.
Do you think that today new difficulties could generate doubts about the value of your decisions?	
No, I wouldn't change my mind.	No, I do not regret anything about my experience
Do you think that your financial situation has changed? How?	
Although, from the financial point of view, we are less well off, we look at our business and we feel that we are living in our dream. I would fight until the end to	Yes. It is improved.

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keep this result.	
Has your previous financial situation helped you in implementing the change?	
Partly	Yes
Do you consider that your experience would be possible without the same financial starting position?	
No, the brewery sector requires high level of investments.	Yes, perhaps it would have needed more time and more difficulties.
What value do you attribute to the perspective of growth of your business? (Fundamental / Relative / Marginal / Null)	
Relative, nothing grows forever, not even the stars. We just would like to save some money for our retirement.	Relative, quality of life comes first.
Would you repeat your experience?	
Yes, definitely we have learned some useful lessons that have improved our life.	Yes and I am happy to show others an alternative way of life.
How would you have responded to that question a year ago? What about three years ago?	
One year ago, Yes. Three years ago, fifty-fifty.	One year ago, Yes. Three years ago I experienced some moments of uncertainty that put at risk my choice.
If there had been a tool able to facilitate your process of change, how would you have considered it? (Very useful / Useful / Marginal / Useless)	
Very useful	Very useful
How would you rate the overall experience?	
Phenomenal. We are very proud of what we have done and we feel very satisfied. We have achieved personal growth through our actions, through living, through doing things ourselves with our hands. We have learned how to push ourselves ahead.	Very positive. Something to share with others.

5. Validation of the compass of value as a tool for fostering reflective judgments.	
Do you think that in some way you have answered the following questions? a) What am I changing for? *(what for?)* b) Who will benefit from this change? *(who benefit)* If yes how have you answered?	
a) To have more time for my family and to do what I love doing b) My two boys will benefit from this change	a) To live a more fulfilling life b) My family, my fiends, my staff, my guest.
Do you think that in some way you have answered the following second set of questions? a) Which needs can be fulfilled with this experience? *(What pleases)* b) Whose needs will this experience meet? *(Whose needs are met)*	
a) Our needs to o see the children grow up, to have some sort of role both physical and emotional in their transition from kids to teenagers and to adults. To be an example for them. I hope that they will understand that they can achieve their own goals. b) Externally, I would hope that my kids would feel that I have helped them, that I have been there for them, and I have been a part of their growing up. Internally, I would be proud that I have been a part of their life and that I meant something for them.	a) The needs to challenge myself and to improve the quality of life of my family. The desire to be free and to contribute to the environment and the community. b) The needs of my children. The peace that I offer to my clients.

6. Role of exemplars, stakeholders and others.	
Did any models and / or exemplars influence your experience?	
During a Master's degree I have worked on some business cases (3M, Toyota) where people were	Yes. A path of personal growth has helped me to learn how to better understand my aspirations and to become

empowered. These ideas of empowerment made me start thinking about a different approach to the business management style.	more open and available to change. I learned how to recognize some of my fears and how to overcome them.
What role has those models and/or exemplars had in guiding and supporting your choices? (Determinant / Relative / Marginal / Null)	
Marginal	Determinant
How have others (family, friends, colleagues...) reacted with regard to your decision to change?	
My colleagues thought that I was crazy to throw away a well paying job. My father was very happy, he supported me and he is very proud for what I have done and for the courage that I have shown. Friends were extremely supportive, phenomenal.	The majority of people discouraged me to pursue my choices for several reasons. They told me that I had better not risk it that I should never leave a secure job, that I should not go and live in an isolated place in the country, that I would miss my life and I would come back. I now think that they were expressing their fear
Has your change decision been influenced by the reaction of others? (Family, friends, colleagues,…)	
Yes.	No, in the sense that I was able to reach my goals, even if to do this I had to examine and re-evaluate all the doubts and fears induced by the others.
What is now changed in your relationship with others (family, friends, colleagues...)?	
I obviously see much less of the people I worked with, but I do not miss them. I have lost the interaction with them, but I have gained new different opportunities and more time for my family.	I feel less influenced from others and I am surer of my personal opinions. I feel that I have improved the environment and the quality of my friends. I have created the conditions of *a life that more reflects myself.*
How do you show consideration to your stakeholders (employees, suppliers, clients, banks, community, etc.)?	
Being very genuine, being ourselves. We are a part of a community.	I enjoy to see the clients of my small resort that share the same sense of peace and serenity that I live myself. In general, my relationship with the stakeholders is improved because it is not imposed from above, as it was in the company where I worked before. Now I follow my ideas and I choose how and with whom to relate, focusing on quality, on kindness and on respect.

7. Business ethics perception before and after the process of change	
What was your opinion on business ethics before you began your experience?	
A word with no value.	In theory, I thought that it was useful, but difficult and not applicable in practice because it seems to me that the companies used this concept without commitment and more as a marketing tool to increase their profits.
What is your opinion of business ethics now with regard to your experience?	
Just from my experience and from the interaction we have with similar sized businesses, ethics is about your way of living, yourself, your brand. I am more a believer in business ethics now, because I have applied this idea in my business. I am aware that *I am my own brand in myself.* We live in a small community, where you have to be ethical if you want to be sustainable. There is no way that you can fake being ethical.	I think it is possible, useful and interesting and that business ethics is a way *to make my company more similar to me.*

Questionnaire

In order to prompt respondents to think, reflect, express values and provide answers in their words, the interviews were conducted face to face using a semi-structured questionnaire

consisting of 49 open-ended questions and 9 closed questions. Some of the questions were oriented to activate emotional responses, in order to stimulate reflective thinking.

In order to establish the trustworthiness of the CCG theory, the questionnaire was divided into seven blocks, each of which examines a specific area of inquiry.

1.Business story and emotional implication

2.Level of personal satisfaction before and after the change

3. Changes in the scale of values and virtues

4. Improvement of the reflection abilities

5. Validation of the compass of value as a tool for fostering reflective judgments.

6. Role of exemplars, stakeholders and others

7. Business ethics perception before and after the process of change

The first company interviewed is Goodieson a small Australian brewery located in Mc Laren Vale in South Australia and the second company is Terra Sessana an Italian small country resort located in Ostuni in the Apulian region. The stories of the two companies are summarized in the answers given to the first set of questions.

Below is presented the questionnaire and the respective answers of the two entrepreneurs. The questionnaire is presented in two columns, so that the two sets of answers can be compared and evaluated.

Results

The content analysis of the answers to the questionnaire has produced a number of interesting results.

In both cases it emerge an initial dissatisfaction that results from a conflict between personal and individual values and those expressed by the companies where the respondents have worked before the change. Dissatisfaction is perceived as the starting element of the overall experience. These sentences expressed by the respondents clearly confirmed this condition: I was considered a number not a person. (Goodieson); "I felt like a slave" (Terra Sessana).

The interview data might be discussed in terms of alienation as what most especially distinguishes the organizations where respondents worked in the past, from the organizations they are active in nowadays, is that previously they were alienated from the organization whereas now they are able to identify with it.

The answers show that the main problems that have led to the change are to be ascribed to poor interest shown by previous companies to employees and stakeholders in general. During their previous work experience, respondents matured disillusion about the possibility that ethical behaviour of companies could improve, or that they could make some changes in the workplace by themselves.

Outside of the quality of interpersonal relationships with colleagues, respondents did not feel part of the organization and were often in conflict of values with the decisions of the company.

The emotional implications of dissatisfaction generate a urge of change that is considered as an opportunity to get rid of the perspective of a conditioned life in order to create the foundations for a more fulfilling life.

As Kanungo argues when individuals experience their self as a part of an enduring relationship with a sense of community, their behaviours tend to be guided by an interest to minimize the sense of powerlessness or alienation among workers and a responsibility for enhancing their self-worth. (Kanungo, 1992)

The sense of identification with the company is very strong and transpires in responses such as: *"…me and my wife are Goodieson brewery"*, or *"…to make my company more similar to me" (Terra Sessana).* During the interviews it became clear that there are no

barriers between humans and the company, but that the economic dimension is all one with the other spheres of life and with the ability to interact with the environment.

Very often the respondents said that their main goal was the pursuit of freedom. It is essentially the freedom to express their values and virtues. To be able to take decisions responsibly and to courageously face the decision to change. Despite the difficulties they had to overcome, respondents have proven to be very involved in their new business; both found the overall experience extremely positive. In stating that take into account different aspects and what is particularly interesting is the high value attributed to the improvement of quality of life and to personal fulfilment.

This evaluation has included issues related to quality of life and fulfilment that were added spontaneously by respondents in the grading scale. The financial dimension plays a less important role in the and certainly it is not essential in guiding evaluations and strategic decisions, as the quality of life factor becomes more relevant.

The pursuit of business sustainability is an innate goal of the company. It is the base on which the entrepreneurs take their decision, being aware of the implications of their choices on the community, the environment and the level of their personal fulfilment.

Time has became more flexible especially with regard to the lower pressure of the rhythms of work and to the freedom to choose how to schedule the days, which are preconditions to be able to spend part of the day to pursuit satisfaction and fulfilment. This allows a better management of the work pressure and contributes to improve the quality of life.

The individual values scale registers significant change due to the development of greater self-reflection capacities occurred during the overall experience. In both cases the value attributed to money decreases in favour of not business-oriented values such as family or friends. Both respondents have attributed this change to the practice of their reflective approach to the business.

The experience of change generates the reinforcement of some key virtues. Overcoming the fear of change develops Courage that is perceived as a rational willingness to take calculated risks. This is also related to the development of Prudence.

It is interested to note that Courage is today more developed for both respondents as they are prepared to overcome difficulties with a more conscious attitude. Happiness is another key virtue that is shared by the two experiences. Wisdom and generosity are also virtues that have emerged and develop during the process of change. Prudence is also reinforced as the experiences have induced the entrepreneurs to take calculated risks.

By these results it emerges a type of entrepreneur who is able to reflect on the meaning of its business choices and take calculated decisions, not only on the basis of economic considerations, but also including the pursuit of knowledge and happiness.

This is also connected with the strategic intents formulation that sustains the overall experience of change by strengthening the determination to reach goals. In both cases the strategic intent refers to a clear idea of what the company would become: "*We want to serve McLaren vale region and contribute to the environment and the community", (Goodieson); "Yes, I want to be free and prove to myself and the others that an alternative way of life is possible", (Terra Sessana).* The lack of references to the financial dimension suggests that entrepreneurs consider the financial results as a consequence of a virtuous approach to business.

The compass of values fulfils its purpose of serving as a tool to induce self-reflection in relation to the choices made and those yet to be taken. In particular respondents show that the four questions are useful to deepen the level of analysis, as they produce a broader investigation of the reasons and the motivations that sustain their choices. The use of the compass of value, as a business ethics tool to facilitate and support change, can therefore

foster the process of realignment of individual values and corporate values, in order to stimulate the self-generation of sustainability.

An interesting result is the drastic change in the perception of Business Ethics after the experience. From being considered a meaningless word, Business Ethics becomes a way to make the company more similar to the virtuous orientation of the owner and the main vehicle for expressing the values of the organization and to give significance of the choice made.

The difference in business sectors and in the country of origin of the two companies seems to be not influent in regard to significance of the answers given during the interviews. This shows that CCG could become a practice shared in different context and that it is not particularly influenced by different cultural orientation.

The many similarities in the two sets of responses suggest the existence of a profile of entrepreneur who demonstrates attention to the assumptions of the CCG practice and willingness to develop reflective thinking, as to promote the economic, social and environmental sustainability of the business.

Conclusion

The results produced by qualitative research have shown the existence of a type of entrepreneur who has taken during his business experience a personal methodology for self-reflection that recalls the case of the practice of GCC.

Although the survey focused on a specific type of small family business, the significance of the results is not negligible given the existence of a large number of companies that offer these features and also considered their important economic weight on world economy. Different business sectors and different country of origin seem to be not influent in regard to the above results.

It is interesting to note that the practice of CCG leads to a noticeable change in the scale of reflective judgments as well as in the ethical quality of business decisions. Companies take on the role of social actors who have their own character, which leads naturally to the achievement of the common good.

The GCC is not just about the aspects of ethical behaviour, but naturally extends to the financial sphere that nonetheless takes a less critical role in guiding business decisions.

To confirm this, we can see that in decision-making are emphasized some aspects related to the enhancement of "soft" variables such as happiness, fulfilment, quality of life, family relationships and friendship.

As shown by the examined experiences, these objectives should be pursued with courage, determination and perseverance. These virtues are generated and reinforced by the daily practice of a self-reflective character.

In regards to what McIntyre says Virtue Ethics is related to the habits and the knowledge concerning how to live a good life, CCG promotes good judgments that emanates from good characters. This means that the practice of CCG can produce internal goods and excellence against the limited pursuit of external goods such as money, power and status that are characteristically pursued by corporate institutions.

The significance of Business Ethics acquires an important value for entrepreneurs because of its positive effects have a direct impact on business management and results. Behind this growth there is a development that can be called *development by propagation*, where people's work embodies a high level of satisfaction, transforming the external world in relation to their subjectivity. Through the development of reflective practices individuals can then be more motivated in recognizing themselves in the good world that they are creating.

In this sense, the Business Ethics becomes a practical and spontaneous management approach that self produces sustainability and ceases to give only theoretical indications.

The search for the truthfulness of GCC opens interesting horizons of study and research. The field of investigation should certainly be extended to a larger and more representative sample of companies.

Lastly, it would be interesting to configure an ad hoc instrument that can stimulate a change of perspective in business management, to the benefit of economic, social and environmental, as well as to satisfy the fundamental needs of fulfilment and quality of life.

The practice of GCC aims to represent one of the possible paths in this direction.

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I-MEET FRAMEWORK FOR THE EVALUATION E-GOVERNMENT SERVICES FROM ENGAGING STAKEHOLDERS' PERSPECTIVES

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Abstract

I-MEET is an Integrated Model for Evaluating E-government services Transformation from stakeholders' perspectives. It is based on an integration of concepts from value chain management and business process transformation to optimize the system-wide value chain of providers and users simultaneously. It aims to align stakeholders on a common global value against traditional disintegrated approaches where each stakeholder optimizes its e-service local value at the expense of others. The measured variables are derived from the literature and focused groups. They are then categorized into cost and risk (Inputs) and (benefit and opportunity) Outputs after a validation process based on Structured Equation Models using a sample of 1540 user-responses of e-services in the UK. Finally, Data Envelopment Analysis is conducted to derive an aggregated of an e-service satisfaction value using the various inputs and outputs. The empirical results demonstrate that data-derived weights for aggregating indicators are variable rather than fixed across e-services. The novelty of the assessment approach lies in its capability to provide informed suggestions to set targets to improve an e-service from the perspective of all engaging users. Hence it provides a better transformation of public administration services and improved take up by citizens and businesses.

Keywords: Data Envelopment Analysis; Electronic Government Service; Performance Measurement; Stakeholders; Structured Equation Modelling, United Kingdom, Qatar, Lebanon

Introduction

E-government is defined as: utilizing the internet and the world-wide-web for delivering government information and services to citizens (United Nations, 2001). An e-government service (e-service) involves many stakeholders such as citizen, non-citizen and business users; government employees; information technology developers; and government policy makers, public administrators and politicians (Rowley, 2011). E-government is also a complex dynamic socio-technical system encompassing several issues starting from governance; policy development, societal trends; information management; interaction; technological change; to human factors (Dawes, 2009). Consequently, the evaluation of such e-services becomes a challenging task due to several factors related to e-government information and communication system (e-system) as well as stakeholders. Each stakeholder has different interests, costs, benefits and objectives that impact users' satisfaction and e-

service take-up. The achievement of one set of specific e-government objectives for one stakeholder may result in the non-achievement of another set of specific e-government objectives for another stakeholder (Millard, 2008). This challenge in balancing the interests of various stakeholders and interest groups was also emphasized by Kelly and Nielsen (2011) with a highlight on the lack of user-centricity which has been recently recognized by some government officials such as the Swedish Minister Ann-Karin Halt who said "...agencies have a good internet presence, but their internet solutions are often designed to meet the agency's need rather than the citizens' needs".

Recently, Lee et al. (2008) reported that e-government has been delivered at a high cost for the tax payer with many successes and failures and a little use by citizens. Their statement can be supported by Eurostat (2009) reports showed that the information technology expenditures in 2008 for the United Kingdom, 27 European States, United States and Turkey are 3.7%, 2.4%, 3.3%, and 0.9% of their national Gross Domestic Product, respectively. Moreover, the e-government take-up (use) by individuals aged between16 and 74 in the United Kingdom, 27 European States, and Turkey, are 30%, 35% and 8% of their population respectively. Lee et al (2008) also listed other hindering factors; the large bureaucratic public sector structures which are grounded in years of tradition, thus unable e-government: to embrace change; create environment for innovation; establish tools to measure users' satisfaction and identify best benchmarks to improve performance. Moreover, Millard et al, (2006) highlighted the lack of a proper measurement strategy for objectives. They suggested that operational output objectives related to the roll-out of e-government services need to be evaluated and measured in relations to specific outcome objectives to increase user satisfaction and e-service take-up; thus stipulating that high quality e-services would increase users' satisfaction and take-up, decrease administrative burden, and increase back-office efficiency. Additionally, Irani, et al. (2005) emphasized the potential of long term savings and improved service quality levels that can be achieved by the development of an efficient e-government infrastructure to facilitate electronic delivery of services to citizens. However, this potential requires e-government to focus on: innovation and structural reform; rethinking the way in which e-services are done; simplifying and reengineering the organizational process in order to achieve high quality user-centric e-services.

In e-government practice, the evaluation of e-services is never simple due to the tremendous complexity in public performance measurement, availability of information on e-government policy and administrative efficiency indicators. According to the review of customer satisfaction approaches in FreshMinds (2006), traditional performance measurement of government services are often based on modification of customer satisfaction indices (such as ACSI: American customer satisfaction index, or EPSI: European customer satisfaction index), standardized survey instruments (such as CMT: Canadian common measurement tool); and scale conversion methodologies (Miller and Miller, 1991). All these measurement approaches conduct surveys and operate at a similar level of depth in terms of asked questions, but they do differ in terms of breadth and coverage. They use fixed weights for each measured variable associated with each factor to devise an overall satisfaction score. In our view, there are few main points that may go against the appropriateness of such practical approaches. First e-service users are not customers; they cannot buy better quality e-services at higher prices due to the non-existence of market competition in e-government. Second, customer satisfaction indices are measured based on perceived and expected quality of services. Alternatively, users' satisfaction should be a function of the quality of online interactions, reliability, personalization and other opportunities that come out of an e-service. Finally, the perception of high risk when using e-commerce service might be more than that with e-service. As a result, there have been a few research initiatives to develop a citizen satisfaction model (CSM) for e-services, (Kim et al., 2005; Welch et al., 2005; Lee at al. 2008; Wang et al. 2005). These models focus on e-government measures for different

purposes, perspectives and countries (Jaeger and Bertot, 2010). They also employ statistical approaches to establish relationships and predict satisfaction trends (Chan et al., 2010; Irani et al., 2007, 2008; Wang and Liao, 2008; and Weerakkody and Dhillon, 2008). They may not suggest a systematic process to e-service managers to design better services. They are descriptive rather than prescriptive approaches in nature. For a recent review on an analysis of methodologies utilized in e-government research from a user satisfaction perspective with e-services, we refer to Irani et al (2012).

Given the above diversity of e-government measurement models and mentioned challenges, there has been no formal agreement on a common international framework for evaluation; there is no single view of how such measurement indicators should be designed, or maintained relevant and practical over time. The integration of citizen' use of e-services is absent from most measurement frameworks (United Nations, 2010). Hence, an *Integrated Model for Evaluating E-government services Transformation* – IMEET project was initiated with the support of Qatar National Research Fund (QNRF) to develop a global agreement on a consistent framework to measure e-government services and to include measures on all stakeholders namely, users and providers. In this paper, we aim to develop a standard for the evaluation of an e-service based on both e-system characteristics and user's behaviour from users' online experience to measure users' satisfaction using a data envelopment analysis. The reasons to measure each stakeholder value within I_MEET framework are mainly due to conflict of interests, need to align various stakeholders on common goals and recommend improvements at macro and micro levels from different perspectives, Osman et al (2013). Please note that citizen/users are used interchangeably in the paper. The main objectives of the paper are as follows:

To develop an alternative satisfaction measure using data envelopment analysis (DEA) efficient frontier methodology. DEA considers simultaneously the multiple measures on outputs (benefits, outcome, and personal opportunity factors) generated from the e-system with the multiple measures on inputs risk and cost to users in order to determine the aggregate measure on satisfaction. Thus the satisfaction measure would reflect an overall efficiency and effectiveness of the e-service.

To experimentally validate that the relationships among Cost-Risk inputs, Benefit-Opportunity outputs and users' satisfaction are statistically significant using real-data collected on users of five e-services in the UK with a new enhanced questionnaire, see Appendix. The experiment would provide an additional proof of the relationships validity of the COBRA (Cost-Risk and Benefit-Opportunity Analysis) framework that was initially proposed and validated on a sample of Turkish data in (Osman et al 2011, 2014).

To illustrate how DEA results can generate recommendations for managers to re-design and improve e-services from the citizen's perspective.

To call for the re-assessment of current United Nations e-government indices that use fixed weights for indicators to derive weights based on our findings that users' stakeholder prefer to have variable weights reflecting their interests.

Methods

In this section, we shall first illustrate an e-service and the engaging stakeholders; the identification process of the set of inputs and outputs with special focus on users, the data collection process, the statistical validation process, and the data envelopment analysis. In this paper, our methodology is developed from the engaging users' perspective. However the I-MEET framework is developed from the perspective of all stakeholders. Stakeholders' groups include users/citizens; businesses; public administrators (employees and politicians); Government agencies; E-government project managers; design and IT developers; suppliers and IT developers; research and evaluators. Rowley (2011). I-MEET is a mission-driven interconnected framework based on the five main components that are shown in Figure 1:

Mission and desired values of Government; the involved internal stakeholders; the affected External stakeholders; the offered E-service(s); the Operating resources support and the decision making support system (DMSS). The DMSS performs the business intelligence analysis to determine the desired e-service values. It is also the dashboard for the deceleration and acceleration control process to guide the improvement of e-services in various evaluation dimensions.
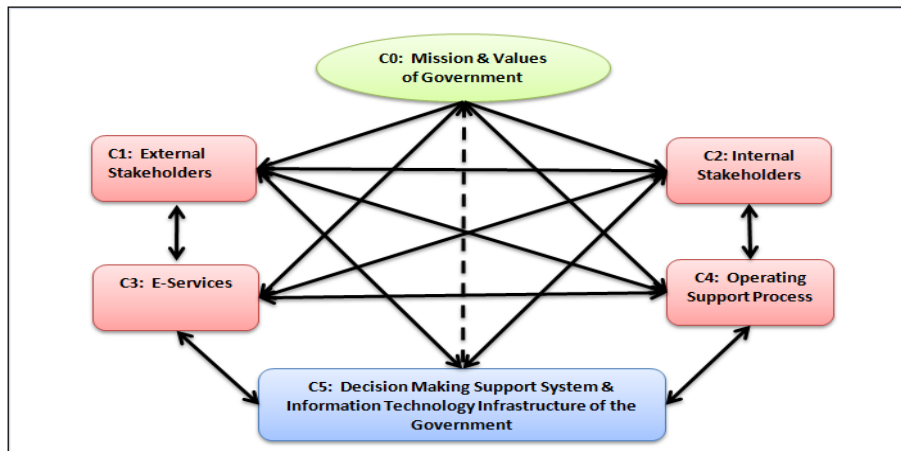
Figure 1: The main interconnected components of I-MEET framework

The I-MEET evaluation process starts by the identification of the e-service to access, and the engaged stakeholders group which provides the real-experience data on the e-service to evaluate. In this paper, we consider the users group which had real interactions and experience with the identified e-service to evaluate. An e-service is delivered using an e-system which is considered a black-box process to users (external stakeholders). The black-box process is the concern of governments and agency providers (internal stakeholders). It is normally designed according to providers' strategic initiatives, objectives and desired public values. The providers inject various input resources to provide outputs and outcomes to the all stakeholders including users. However, the users provide inputs to an e-system during online interactions to receive e-system's outputs and outcomes. This interaction process during the actual engagement with an e-service is a white-box process to users. The inputs and outputs of the white-box process are the main concern of users that influence the users' satisfaction. Figure 2 illustrates the interaction process between a user and an e-system to obtain an e-service. Thus, an e-service can be defined as the complete cycle of stages starting from the first interaction to request a service through the various input/output online activities while engaging with an e-system to the final delivery of the service according to the user's desired output and outcome.
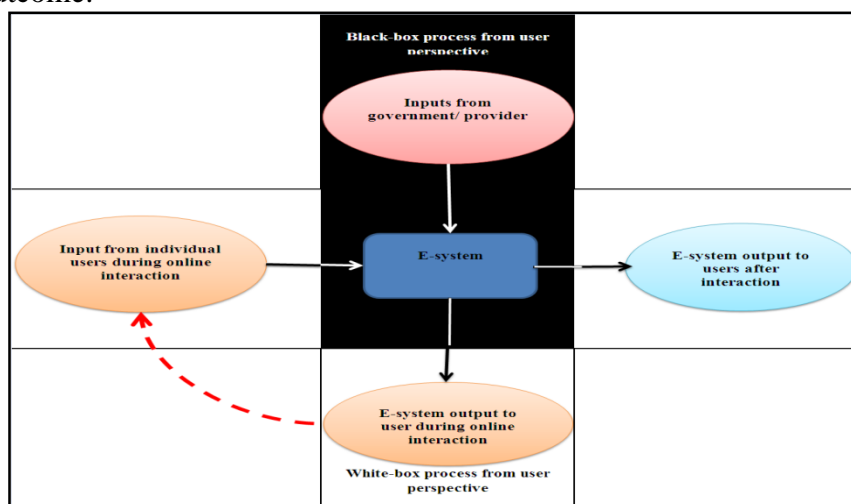
Figure 2: The interactive process between user and e-service.

The identification process of the set of inputs and outputs from user's perspective was based on a systematic approach where a set of measurable indicators was derived from conducting focused groups with various stakeholders and the available literature, Irani et al (2012). Three workshops were held in Qatar, Lebanon and UK with different stakeholders - users, providers and academics- to generate a questionnaire from users' prospective consisting of 60 questions. The data collection process started by identifying a list of five e-services, namely, Benefits, Retirement and Financial or Job Seekers support; Driving License Queries; Healthcare Information; Local Government and Tax Information. The data collection was conducted by a private agency over a six months period. The statistical validation process was conducted to validate the set of input and output variables using COBRA - the cost-opportunity and benefit-risk analysis- framework in Figure 3. The COBRA framework was proposed to validate the measurement scale of a set of measured variables and their relationships to users' satisfaction on a sample of Turkish e-services, Osman et al (2011, 2014). The COBRA validation process was based on a structured equation modeling and a confirmatory factor analysis in order to group measured variables into a set of fewer COBRA categories. The prediction of users' satisfaction to users' inputs as predicators was found to follow the following significant relationship:

$$\text{Satisfaction} = 1.9 + 0.385 \times \text{Opportunity} + 0.026 \times \text{Benefit} - 0.023 \times \text{Risk} - 0.287 \times \text{Cost}$$
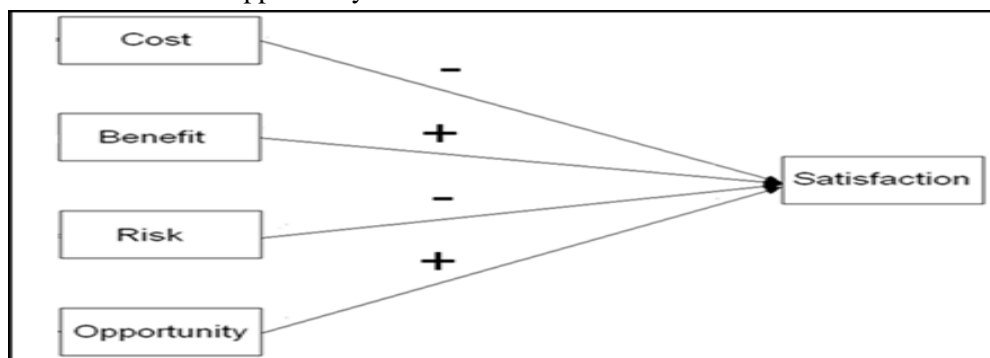
Figure 3: A COBRA illustration of measurable predictors to user' satisfaction.

Finally, the main analytical component of the I-MEET is a decision making support component which is based on data envelopment analysis. It acts like a dash broad that will provide tradeoffs among competing indicators and provide guidance on how to accelerate and decelerate the I-MEET processes in order to achieve the main goals from the evaluation process for transforming an e-service.

Data Envelopment Analysis (DEA) is a non-parametric linear programming approach for multifactor productivity performance analysis. It evaluates the relative efficiencies of a homogeneous set of decision-making units (DMUs) where each DMU (e-service) utilizes multiple inputs and resources (cost and risk variables) to produce multiple outputs and outcomes (benefit and opportunity variables). The efficiency score of a unit is measured by an aggregate function defined as the ratio of the total weighted outputs to the total weighed inputs. A unit with an aggregate efficiency score of 1 (slack values =0) is considered to be efficient (satisfying users) and a score of less than 1 indicates that the e-service unit is inefficient (dissatisfying users). The original DEA *constant return to scale* model (DEA-CRS) was developed by Charnes et al. (1978). It assumes that a proportional change in inputs does result in a similar proportional change in outputs. The DEA-CRS model needs to be executed as many times as the number of decision making units in order to determine an aggregate efficiency score for each e-service. The weights for each e-service are optimized in the best interest of the e-service being evaluated subject to the aggregate ratio of each e-service in the set does not exceed a value of 1. Figure 4 provides a mathematical formulation for the primal DEA output-oriented model based on a constant return to scale on the left side and its associated envelopment dual model on the right. In this formulation, given n e-services

where p (p =1, …, n) is the e-service being evaluated, m represents the number of inputs (cost and risk variables) and s represents the number of outputs (benefit and opportunity variables), y_{ki} is the amount of output k generated by e-service i, and x_{ji} is the amount of input required by e-service i, and v_k, u_j are the weights given to output k and input j respectively. The output-oriented productivity measure of e-service p can be obtained by maximizing the numerator of $(\sum_{j=1}^{s} v_k y_{kp} / \sum_{i=1}^{m} u_j x_{jp})$ and setting its denominator equals to 1 as shown in the first constraint in the formulation. The second set of n constraints achieves the relative concept; obtained by imposing no aggregate ratio value to any unit should exceed one. Similarly, a primal input-oriented model can be obtained by minimizing the dominator while setting the numerator equals to 1.

Primal DEA-CSR: Output-Oriented Model	Envelopment DEA-CSR: Input-Oriented Model
$Maximize \sum_{k=1}^{s} v_k y_{kp}$ s.t. $\sum_{j=1}^{m} u_j x_{jp} = 1$ $\sum_{k=1}^{s} v_k y_{ki} - \sum_{j=1}^{m} u_j x_{ji} \leq 0 \; ; \forall i = 1, …, n$ $v_k, \quad u_j \geq 0 \quad \forall k, j$	$Minimize \; \emptyset$ s.t. $\sum_{i=1}^{n} \lambda_i x_{ji} \leq \emptyset x_{jp} \quad ; \forall j = 1, …, m$ $\sum_{j=1}^{m} \lambda_j y_{ki} \geq y_{kp} \quad ; \forall k = 1, …, s$ $\lambda_i \geq 0 \quad ; \forall i = 1,.., n$

Figure 4: Constant Return to Scale DEA (Primal) and Envelopment DEA (Dual).

For every inefficient unit, DEA identifies a set of efficient units that can be utilized as benchmarks for improving inefficient ones. Benchmarks can be easily obtained by employing the envelopment DEA-CRS input-oriented model when the number of DMUs is very high due to its computational efficiency. A DEA variable return to scale (DEA-VRS) model was developed by Banker et al. (1984). It assumes variable changes in outputs, unlike proportional changes in DEA-CRS. The envelopment DEA-VRS model can be obtained by adding a constraint $\sum_{j=1}^{n} \lambda_i = 1$ to the envelopment input-oriented model DEA-CRS model, where λ represents the dual variables to identify the benchmarks for inefficient units.

DEA was considered as one of the big idea in the history of research in service operations (Chase and Apte, 2007). DEA applications in service operations include: examination of efficient use of different types of enterprise information in the realization of strategic performance (Bendoly et al, 2009); assessing the relative efficiency of local government in Portugal (Afonso and Fernades, 2008); efficient service location design for a government agency in the State of Michigan (Narasimhan et al, 2005); evaluation of efficiency of units within a large-scale network of petroleum distribution facilities (Ross and Droge, 2004); performance assessment of joint maintenance shops in the Taiwanese army (Sun, 2004); evaluation of the relative efficiency of nurses (Osman et al, 2010); For more details on DEA theory, models and applications please refer to Cooper at al. (2007).

Results and discussions

The users' online experience was captured from responses of 1540 UK real-time users of the five identified e-services. Enough time was allowed to collect more than 300 responses per e-service, see Table 1. Table 2 provides description of the data and their grouping. The set of 60 questions in the questionnaire were divided into two parts. Part one contained 49 questions related the users' e-service experience for measuring the users' value of satisfaction. These questions were further subdivided into a set of 4 factors and associated sub- categories

to generate recommended improvements. The value of each variable was obtained by averaging the Likert scale responses of the included questions. Part two contained the other 11 questions to collect bio-data in order to identify the characteristics of satisfied/dissatisfied users for managerial actions.

E-Service name	Size of responses
Benefits, Retirement & Financial or Job Seekers support	310
Driving License Queries	305
Healthcare Information	310
Local Government	306
Tax Information	309
All E-service	1540

Table 1: Summaries of e-service names and responses size per an e-service

Factor/Group	Included Questions	No of questions
Cost		14
Time	1-7, 19	8
Money	8, 9, 10, 20, 21, 23	6
Risk		11
Finance	11,12, 13,14, 15	5
Personal	16, 17, 18, 34, 35, 36	6
Benefit		11
Information	28,30-33, 47	6
Service	24-27, 29	5
Opportunity		13
Technical	44-46, 48, 49	5
Service	22, 37-43	8

Table 2: Grouping of questions in the questionnaire in factors and sub-categories.
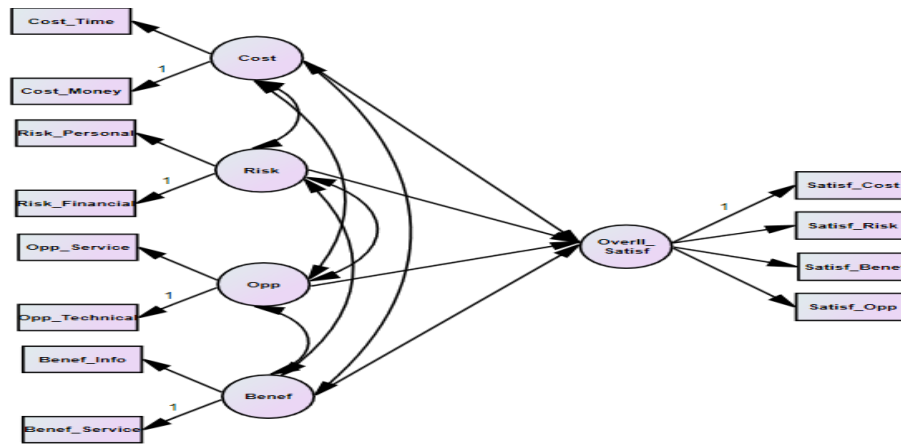
Figure 5: The proposed COBRA relationships among various indicators.

Statistical Test		Values	Accepted Range
CMIN	CMIN/DF= X^2/df	4.39	< 5.00
	GFI	0.91	> 90.0
Baseline Comparisons	NFI	0.94	> 90.0
	RFI	0.91	> 90.0
	IFI	0.96	> 90.0
	TLI	0.93	> 90.0
	CFI	0.96	> 90.0
RMSEA	RMSEA	0.05	< 0.05
	LO 90	0.04	< 0.05
	HI 90	0.05	< 0.05

Table 3: Structured Equation Model Fitness Results.

To validate the proposed COBRA relationships (Figure 5) among the identified variables, factors and sub-categories and the users' satisfaction, a structured equation model was used to test the fitness of the proposed model, (McDonald and Ho, 2002). The results in Table 3 showed that all statistical measure indices were within the acceptable levels with p <0.01. For instance, the value of X^2/df = 4.39; Root Mean Square Error of Approximation, RMSEA= 0.05; Normed Fit Index, NFI = 0.93; Comparative Fit Index, CFI = 0.96. As a result, the SEM results provide a proof that the COBRA proposed model has a satisfactory model fitness and that all of the measured variables can be used to measure the satisfaction of users from the corresponding factors/constructs.

The COBRA model captures the rational behaviour of users - if the cost and risk are lowest and if the benefit and opportunity are highest, then the users would be the most satisfied. This rationality is translated into the DEA modelling process in the following way, if the inputs (cost and risk) are lowest and the outputs (benefits and opportunity) are highest, then the associated decision making unit has the highest DEA score of 1 (equivalent to most satisfied). Moreover, the COBRA validation was based on statistical tests that predict trends but they do not allow the identification of best-practice benchmark for improvements. Those best-practices are always treated as odd points and may be neglected/dropped from the statistical analysis. On the contrary, those odd points may represent the best-practices to guide the improvement process and DEA is more capable at their identifications. They form the set of efficient frontier in DEA terminology. Therefore, we are using the same indicators to generate improvement recommendations as well as DEA scores on users' satisfaction.

In order to generate the satisfaction of users with an e-service, the appropriate DEA model must be selected based on the characteristics of the users and the orientation of desired improvements. Table 4 presents an analysis of the bio-data of the respondents. It can be seen that the users come from heterogeneous groups of different interest usage, annual income and computer skills. These features require the implementation of a data envelopment model with a variable return to scale. Further, since we are interested in measuring the efficiency of utilisation of inputs and the effectiveness of outputs by an e-service, input and output-oriented models must be utilised. Therefore the following two DEA-models are used to analyze the collected data, namely: input-oriented DEA-VRS model – input-oriented DEA with Variable Return to Scale - and output-oriented DEA-VRS model. The DEA results reveal a number of observations. First, the efficiencies of transformation are different across e-services and orientation desired, Table 5. The input-oriented efficiencies of the e-services range from 63.9% to 66.8% with an average of 64.9%, i.e., the current outputs (opportunity, and benefit) can be produced at an average of efficiency of inputs (risk and cost) utilisation of 64.9% than the current level. This indicates more managerial actions are needed to reduce the current resource utilization by 35% to keep the level of outputs (the average of input orientation score is around 65%). In addition, it was found that 86 out 1540 (5.58%) of the respondents were fully satisfied or achieved DEA scores of 1. However, if a reduction of the utilisation is not possible (i.e. keeping the resource utilisation of inputs at the current level) then the management should look at increasing the current level of outputs by an average of 20% since the average of output-oriented efficiency is 80%). Similarly, was found that 211 out 1540 (13.77%) of the respondents were fully satisfied or achieved DEA scores of 1. From the analysis in Table 5, it can be seen that the Driving License e-service is the best among all compared e-services. Its best-practice and operating features can be further documented and analysed to use it as a guiding benchmark for the less efficient e-services.

Second, the different weights given to each input/output variable are different for an e-service in the same country, Table 6. The differences reflect that different importance is assigned to measured variables from the users' perspective. They also vary per orientation and their values would provide management with a guiding tool to what matters to users.

Users' Characteristics	Value	Frequency	Percentage
Internet Usage	Beginner	25	1.62
	Fair	178	11.56
	Good	540	35.06
	Excellent	797	51.75
Annual Income	Less than £10,000	252	16.36
	£10,000- £19,999	357	23.18
	£20,000- £29,999	425	27.6
	£30,000- £39,999	226	14.68
	£40,000- £49,999	114	7.4
	£50,000- £59,999	61	3.96
	£60,000- £69,999	34	2.21
	£70,000- £99,999	48	3.12
	£100,000- £149,999	13	0.84
	£150,000 and above	10	0.65
Use E-service	Everyday	193	12.53
	Several times weekly	278	18.05
	Several times a month	188	12.21
	Once a month	348	22.6
	Several times a year	258	16.75
	Once a year	275	17.86

Table 4: Analysis of the Bio-Data of respondents.

Name of E-services/Labels	DEA-VRS oriented models	
	Input	Output
Benefits, Retirement and Financial or Job Seekers support (B)	64.4	79.7
Driving License Queries (D)	66.8	81.9
Healthcare Information (H)	65.3	81.2
Local Government (L)	63.9	79.6
Tax Information (T)	64.1	79.5
All E-service (Overall Average)	64.9	80.4

Table 5: DEA input and output oriented results.

Inputs/Outputs Indicators	Weights of DEA-VRS models	
	Input-oriented	Output-oriented
Cost_Time	0.1	0.15
Cost_Money	0.4	0.25
Risk_Personal	0.25	0.44
Risk_Financial	0.25	0.16
Opportunity_Service	0.23	0.25
Opportunity_Technical	0.18	0.08
Benefit_Info	0.29	0.38
Benefit_Service	0.3	0.29

Table 6: Flexible weights given to users/ indicators from DEA oriented results.

This observation highlights a very important weakness in the equal-weight approach that has been used to generated UN e-government indices and invites more research to re-assess the current ranking of countries, since it does not take the relative preference of countries when deriving the ranking scores.

Finally, both DEA-VRS models generate target improvement expressed in terms of percentage change for a particular e-service or a group of e-services with reference to the set of best-practice frontier, i.e., fully satisfied users. For instance, Table 7 provides such recommended changes on the average for each of the five E-services. Negative values indicate a reduction in the current values of the associated indicators, while positive values

indicate increases over the current values reach in order to become efficient or effective from the perspective of the respondents. From table 7, it can be seen that the financial risk, personal risk followed by the cost of time have the highest % of required improvements along with the improvement of the technical opportunity from the input-oriented model. However, looking at the recommended change from the output-oriented model, it can be seen that the financial risk and the cost of time and the technical opportunity must be improved. Both models agree on such recommendations with different degree of change. In this case, the management interested in promoting the provision of e-government service are invited to look at the characteristics of the benchmark and learn new ways to improve the e-service. The importance of the recommendations is coming from the actual observation of an e-service and a group of respondents, who achieved the suggested targets, i.e., we have a set of best practice efficient services that were identified to give the improvement or change process.

Conclusion

In this paper, a new framework for evaluating e-Government e-services from stakeholders' perspective was introduced. The framework is a mission driven approach with goals that are translated into strategies with objectives and initiatives with desired values. These initiatives would affect the input-resource efficiencies, quality of generated output/outcome effectiveness and business impact of the e-service provisions. The users are one of the key stakeholder and their opinions are often neglected but very important to increase take-up and providers objectives. Moreover, while using an e-service, the e-service may require users' inputs to generate outputs and outcomes that impact users' satisfaction in contrary to the desire of the providers. Therefore, developing a users' questionnaire and validating of prime important for capturing the users' values of e-services. The questionnaire was systematically developed using focused groups with users, providers and academics in Qatar, UK and Lebanon. The generated questionnaire is now validated using collected data from a large

	% Targets to improve E-services using Input Oriented Model				
Indicators	B	D	H	L	T
Cost Time	-0.39	-0.37	-0.4	-0.4	-0.39
Cost Money	-0.37	-0.34	-0.36	-0.37	-0.37
Risk Personal	-0.36	-0.34	-0.35	-0.37	-0.37
Risk Financial	-0.45	-0.41	-0.42	-0.43	-0.45
Opp Service	0.05	0.05	0.04	0.05	0.05
Opp Technical	0.17	0.19	0.21	0.21	0.18
Opp Technical	0.02	0.03	0.02	0.02	0.02
Benef Service	0.06	0.03	0.04	0.05	0.05
	% Targets to improve E-services using Out-oriented Model				
Indicators	B	D	H	L	T
Cost Time	-0.3	-0.32	-0.35	-0.32	-0.31
Cost Money	-0.09	-0.08	-0.09	-0.09	-0.1
Risk Personal	-0.08	-0.07	-0.08	-0.07	-0.08
Risk Financial	-0.36	-0.33	-0.35	-0.36	-0.39
Opp Service	0.43	0.36	0.37	0.43	0.42
Opp Technical	0.46	0.43	0.45	0.47	0.46
Opp Technical	0.37	0.33	0.34	0.38	0.39
Benef Service	0.44	0.35	0.37	0.43	0.43

Table 7: Recommended targets to improve the e-services.

Sample of UK respondents in this paper. The validation process uses a structured equation modelling to provide a proof of the existence of significant relationships between cost-risk and benefit-opportunity on one hand and users' satisfaction on the other hand. The statistical testing provides the second validation of the COBRA framework in the literature.

After the validation process, Data envelopment analysis was conducted to determine optimal weights for variables from the relative perspective of users. The results of DEA show that the UK e-services are more effective in terms of output generation and less efficient in terms of input utilization. Hence, the paper provides e-services' providers with a management tool that can identify targets for improvements for specific indicators for an e-service to become either input-efficient or output-effective. It also provides reference to existing best practices that can guide the change in the improvement process. The DEA analysis also showed that the use of fixed weights to aggregate indicators to produce United Nation indices may need re-assessment or revisited. Simply, because, the weights of indicators seem to vary within a country and within the same users' group of e-services let alone use fix weights across nations.

This study is the first of its kind for analysing e-services in the UK from the users' perspective using the proposed quantitative approach. The approach can evaluate a single e-service to establish best-practice among users or evaluate multiple e-services to establish best-practice among e-services. The research team is currently conducting similar studies are currently being conducted to evaluate e-services in Qatar, Lebanon and Turkey from the users and providers perspectives. Future research can also benefit from studying the bio-data and written feedbacks and correlate them to the obtained data development scores using data-mining tool or other descriptive statistics to identify the characteristics of satisfied and distained groups. The various analyses is limited to the use of Likert scale for the users' responses due to the difficulty for users to provide proper estimates for measured variables. But such limitation does not affect the proposed approach, but actual data may give better insights and understanding.

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AN APPROACH FOR MATHEMATICAL FORMULATION OF THE SUSTAINABLE ECONOMY

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Abstract

Assuming that the concepts included in the fundamental description level of the sustainable economy are the concepts of sum and direction, a model is formulated herein using a mathematical structure used by the equilibrium Macroscopic Thermodynamic Theory. For this formulation, the following items are considered: an open economy, with a public sector, which produces non-free (goods) and free (conveniences) goods and services. New concepts are introduced which, associated to macroeconomic variables, define a set of variables which are representative of each and every activity performed by the economy. Equilibrium states are conceptualized which an economy can achieve when it evolves in a sustainable manner and with certain restraints. The existence of a function, only defined for equilibrium states, is postulated which has a peak value when the economy achieves the highest welfare state. It is postulated that this function has mathematical properties that allow use the same mathematical tools of Thermodynamic Theory. Then, the model is applied to a simple economy and the equilibrium and equilibrium stability criteria are deduced. It is emphasized in the conclusions that the model provides a useful connection between the Microeconomics and Macroeconomics domains, and numerous equations that are useful for economic analysis; the obtained equilibrium criteria are compared to the traditional ones, and the economic content of the stability criteria is expressed.

Keywords: Sustainable, Economy, Mathematical, Model, Thermodynamics

Introduction

In the fundamental description level of a sustainable economy there is an arrow of time. An economy (or economic system) operates in a sustainable manner when it evolves increasing the welfare of its population. In order to achieve this objective, in addition to fulfill the necessary macroeconomic requirements, the system must ensure that the net potential availability of factors (NPAF) per inhabitant shall not diminish. The employment level and the assignment efficiency and use of these factors should not diminish either. The NPAF include all the potentially Productive Factors (the economic system´s human and capital resources) plus all the potentially imported factors (goods the system may import and could be used as factors) less the factors the economy use to produce export goods. The system must also ensure that its characterization shall not undergo any negative changes. For the purposes of this model, an economic system is sufficiently characterized by: i) a determined number of consumers; ii) a certain state of scientific and technological knowledge, for each and all of its activities; iii) a determined mean level of education, culture and public health; iv) an enforceable legal system to ensure peaceful coexistence and to regulate the interaction with other economies; v) a set of consumer preferences that determine the bundle of goods the system must produce to satisfy domestic and external demand; vi) a predisposition to produce unpriced public conveniences, and vii) the aspiration of consumers to enhance their wellbeing. On the other hand, the system must to ensure that exploitation of their natural resources is efficient; this can be achieved by maintaining renewable resources available and by making the necessary previsions for future generations to have the economic means for solving the

problems that the exploitation of non-renewable natural resources might cause (WECD, 1987). In addition to the concept of direction, the other concept included in the fundamental description level of a sustainable economy is the concept of sum. These two concepts are the basis of the formulation of the equilibrium macroscopic thermodynamic theory. Consequently, by identifying the appropriate variables representing each and every activity of the economy and by conceptualizing ideal limit states, it is possible to formulate a model employing the mathematical structure used by thermodynamics. For the formulation of the model an open economy is considered having a public sector, which produces non-free (in short, goods) and free (in short, conveniences) goods and services. In order to identify the variables to be incorporated into the mathematical structure, for any instant during the evolution of the economy, the average economic availability per inhabitant is defined as *dep* $=(GDP+M-X)/N$. This variable, which has dimensions of [money/time.inhabitant], allows for introduction of the concept of average effort associated to achievement of a physical unit of each good produced by the economy. Thus, for example, the average effort associated to achievement of a physical unit of good j is equal to (z_j/dep), wherein z_j is the price of good j. The dimension of this new concept is [(time.inhabitant)/physical unit of good j]. Moreover, a limit state can be conceptualized as an ideal state that might be achieved by a system having a certain characterization, a certain NPAF and evolving in a sustainable manner, but restricted to having a certain factor assignment. With these concepts, the model is formulated, mathematical relations resulting from this formulation are deduced, the model is applied to a simple economic system, and the equilibrium and equilibrium stability criteria are deduced.

Model Formulation

An economy operating in a sustainable manner, having a certain characterization and a certain NPFA per capita, could achieve different limit states for different factor assignments. These states, conceptualized as ideal, will be referred to as *sustainable equilibrium states*, SES. In each of these states, the economy makes full use of its factors, operates in a sustainable manner, with a certain factor assignment, with no externalities and with an optimal tax policy. Under these conditions, the economy achieves an equilibrium state by maximizing the usefulness of all its agents and ensuring that the consumption of goods and conveniences is in equilibrium. If the restriction to operate with a particular factor assignment is eliminated, the sustainability condition will cause the economy to evolve to the state of maximum possible economic welfare. This ideal state, which belongs to the set of SES, to be called the *State of Maximum Sustainable Economic Well-being*, here abbreviated SEW. In this state, the economy adopts an optimal factor assignment and uses these factors with maximum efficiency for the available technologies.

When a system reaches a SES, its NPFA is described by a unique set of quantity and quality properties that, in a unit of time, the economy employs to satisfy its domestic demand. If the economy uses t number of distinct productive factors and it use an m variety of imported products, this set can be represented by the vectors $F = (F_1,...,F_t)$ y $P[imp] = (P_{1,imp},...,P_{m,imp})$. F is a vector representing the productive factors allocated to satisfy domestic demand, while P[*imp*] is a vector representing the imported products allocated to satisfy the domestic demand. The coordinates that define these two vectors can be grouped in a unique variable that is expressed in *units of factor* per unit of time symbolized *F*. The unit of factor (*uf*) is defined as the amount of physical units of each and every factor employed to produce a "universal consumption basket" which contains different amounts of physical units of each and every good j produced in the economy. For each good j, the amount contained in this basket is the average amount consumed by a consumption unit, predetermined in each case, in the time unit selected to define the flow variables. Then, if $x_{r,j}$ and $x_{i,j,imp}$ are the amounts of physical units of the factors r and i used to produce a physical unit of j, and c_j is the amount

of physical units of product *j* contained in the universal consumption basket, the factor unit is given by:

$$uf = \sum_{j=1}^{n}\sum_{r=1}^{t} c_j \cdot x_{r,j} + \sum_{j=1}^{n}\sum_{i=1}^{m} c_j \cdot x_{i,j,imp}$$

If for a SES, w_r and $z_{i,imp}$ are the prices of a physical unit of the productive factor *r* and the imported factor *i* respectively, then the price of the unit of factor is:

$$w = \sum_{j=1}^{n}\sum_{r=1}^{t} w_r \cdot c_j \cdot x_{r,j} + \sum_{j=1}^{n}\sum_{i=1}^{m} z_{i,imp} c_j \cdot x_{i,j,imp}$$

It is then possible to calculate the quantity of the units of factor per unit of time as F =A/w, where A = GDP + (M – X).

The definition of (dep) and the quantification of the concept of average effort, establishes the concept of the economic intensity of factors or products, defined as the fraction of all the consumers that are either associated with the use of a certain quantity of factors, or produce a certain quantity of products per unit of time. For example, the economic intensity of the factor units the economy uses per unit of time to satisfy its domestic demand is equal to [(w/dep).F], and the economic intensity for the production of good j is equal to [(z_j/dep).P_j].

When the economy reaches a SES, there is a complete use of its NPFA. In this situation, it is possible to describe the SES by enumerating a set of variables that are associated to different activities. Given that each SES has a given characterization, a given NPFA and an a-priori efficiency in the allocation and use of factors, one of the possible descriptor set is (*F, F^k*, P, *F^{bg}*), where F^k is the quantity of units of factor used to performs those task needed to growth, P is a vector whose coordinates represents the total quantity of physical units of product per unit of time of each and all final priced goods *j* produced by the system to satisfy the population demands, and F^{bg} is the quantity of units of factor used to generate unpriced conveniences. If in this description, only the population (*N*) changes, then the variables (*F, F^k*, P, *F^{bg}*) change in the same proportion, thus these variables are extensive variables.

Postulate 1: In an economy that makes complete use of all of its NPFA the SES is fully described by the set

($F, F^k, P_1,\ldots, P_n, F^{bg}$) = ($F, F^k, P, F^{bg}$)

In the set (F, F^k, P, F^{bg}) there are not included those variables related to global conservation. Therefore, the economic intensity of the output of the activities of global conservation is a function of (*F, F^k*, P, *F^{bg}*). When an economy reaches its SEW, it achieves a state of maximum efficiency and minimizes the economic effort to achieve its economic objectives; therefore, the economic intensity of global conservation activities is at a minimum and the economy minimizes the average effort to produce a unit of each and all goods and conveniences.

Postulate 2: There exists a function, arbitrarily called Yala (Ya), that is a function of the extensive variables (F, F^k, P, F^{bg}), that is defined for all the SES of any economy and has the property that the values adopted by the unconstrained variables ($P_1,\ldots,P_n$), when the economy is in the SEW, are those that minimize the Yala function for the system's characterization, the NFPA and the magnitude of F that define that SEW.

The set of the points of the space $R^{(n+3)}$ for which the function is defined, conform a continuous and differentiable manifold. Also, when F increases and (F^k,P,F^{bg}) remains constant, the Yala function necessarily increases.

Postulate 3: The Yala function (Y^a) is a homogenous first order function in each and all its extensive variables, it is also a continuous and differentiable function and is a monotonically increasing function of F.

The partial derivatives of Yala are the intensive parameters of the economy and are defined by the following equations:

$$\left.\frac{\partial Y^a}{\partial F}\right)_{F^k,\mathbf{P},F^{bg}} \hat{=} \frac{w}{dep} = \tilde{w} \qquad\qquad \left.\frac{\partial Y^a}{\partial F^k}\right)_{F,\mathbf{P},F^{bg}} = -\tilde{w}$$

$$\left.\frac{\partial Y^a}{\partial P_j}\right)_{F,F^k,P_{k(\forall k \neq j)},F^{bg}} \hat{=} -\frac{z_j^{mo}}{dep} = -\tilde{z}_j^{mo} \qquad\qquad \left.\frac{\partial Y^a}{\partial F^{bg}}\right)_{F,F^k,\mathbf{P}} \hat{=} -\tilde{w}$$

The variables that symbolize the value of one physic unit of each and all goods j are expressed in [monetary units/physical units of product]. For each final good j the symbol has a supra index (mo) to highlight that is determined by the sum of the prices of those factors employed in the production of that final good j, that depends exclusively on the production method utilized to obtain it. These variables include all direct factors, and only the indirect factors that depend on the production method employed as provision for human resources, replacement for depreciated capital goods allocated to the production of the j-good, producers costs to ameliorate the environmental impact of the production method used to obtain j, and provisions necessary to compensate the depletion of the non-renewable natural resources used by the product j. Vector z[mo] represents the price vector of those products destined to satisfy the population's demands.

The Yala function contains all the economic information to describe the system and will be called the fundamental relation of the economy. Its first differential is:

$$dY^a = \tilde{w} \cdot dF - \tilde{w} \cdot dF^k - \sum_{j=1}^{n} \tilde{z}_j^{mo} \cdot dP_j - \tilde{w} \cdot dF^{bg}$$

Postulate 3 allows derivation of an alternative form of the fundamental relation:
$F = F(Y^a, F^k, \mathbf{P}, F^{bg})$

This equation is the fundamental relation for an economy represented in F and contains all the information necessary to specify the SES.

Since the Yala function is monotonically increasing of F, the minimum condition specified in Postulate 2, implies a maximum for F when the economy reaches the SEW. This implies that the SEW is a state where Y^a has minimum when F is constant or F has maximum when Y^a is constant.

The Yala function is homogeneous of first order in all and each variable; therefore for any u

$$Y^a(u \cdot F, u \cdot F^k, u \cdot \mathbf{P}, u \cdot F^{bg}) = u^1 \cdot Y^a(F, F^k, \mathbf{P}, F^{bg})$$

Particularly for $u = 1$

$$Y^a\left(F, F^k, \mathbf{P}, F^{bg}\right) = \tilde{w} \cdot F - \tilde{w} \cdot F^k - \tilde{\mathbf{z}}[mo] \cdot \mathbf{P} - \tilde{w} \cdot F^{bg}$$

A similar analysis for the equivalent fundamental relation on F results in:

$$F\left(Y^a, F^k, \mathbf{P}, F^{bg}\right) = \frac{1}{\tilde{w}} \cdot Y^a + F^k + \frac{\tilde{\mathbf{z}}[mo]}{\tilde{w}} \cdot \mathbf{P} + F^{bg}$$

The last two equations are an application to economics of the Euler Theorem on homogenous first order forms.

To analyse the evolution of an economy through SES, it may be convenient to cast the fundamental relation as a function of other variables, for example, as a function of intensive variables. The Legendre Transformations provide the adequate formalism to transform the fundamental relation in terms of the conjugated variables and to obtain new functions, conserving all information. For example, to obtain a new function expressed as a function of the corresponding conjugated variable as the independent variable instead of F, then, the Legendre transformation is:

$$Y_{\tilde{w}}^a\left(\tilde{w}, F^k, \mathbf{P}, F^{bg}\right) = Y^a - \tilde{w} \cdot F$$

With the ceteris paribus condition that only F and P_j can change, the others transformed functions useful to analyse the economy evolution are:

$$Y_j^a\left(F,F^k,P_1,...,P_{j-1},\tilde{z}_j^{mo},P_{j+1},...,P_n,F^{bg}\right)=Y^a-\left(-\tilde{z}_j^{mo}\right)\cdot P_j$$

$$Y_{\tilde{w},j}^a\left(\tilde{w},F^k,P_1,...,P_{j-1},\tilde{z}_j^{mo},P_{j+1},...,P_n,F^{bg}\right)=Y^a-\tilde{w}\cdot F-\left(-\tilde{z}_j^{mo}\right)\cdot P_j$$

It is important to note that when F^k, $P_1,...,$ P_n, and F^{bg} are transformed, the resulting Legendre´s transformation is equal to the population of the system (N):

$$Y_{k,1,...,n,bg}^a\left(\tilde{w},\tilde{z}_1^{mo},...,\tilde{z}_n^{mo}\right)=Y^a+\tilde{w}\cdot\left(F^k+F^{bg}\right)+\sum_{j=1}^n\left(\tilde{z}_j^{mo}\cdot P_j\right)=N$$

This Legendre transformation, expresses the sum of the economic intensity of each and all the activities the system execute.

Because the fundamental relation is a function of $[q = (n+3)]$ variables, there are $[2^{(q)}-1]$ Legendre transformations possible. The Yala function and its transformed functions are called Potential Functions.

Similar analysis for the fundamental relations on F, allow one to obtain the legendre transformations of F function.

Given that potential functions have exact differentials and its partial derivatives also are continuous, it is possible to find a set of mathematical relations using the property that for this class of functions the mixed second derivatives are equal. For example, with the condition that only F and P_j can change it is possible to obtain the following reciprocity relations:

$$\left.\frac{\partial\tilde{w}}{\partial P_j}\right)_{F,F^k,P_{k(\forall k\neq j)},F^{bg}}=-\left.\frac{\partial\tilde{z}_j^{mo}}{\partial F}\right)_{F^k,\mathbf{P},F^{bg}}\qquad-\left.\frac{\partial\tilde{z}_j^{mo}}{\partial\tilde{w}}\right)_{F^k,\mathbf{P},F^{bg}}=\left.\frac{\partial F}{\partial P_j}\right)_{\tilde{w},F^k,P_{k(\forall k\neq j)},F^{bg}}$$

$$\left.\frac{\partial P_j}{\partial F}\right)_{\tilde{z}_j^{mo},F^k,P_{k(\forall k\neq j)},F^{bg}}=\left.\frac{\partial\tilde{w}}{\partial\tilde{z}_j^{mo}}\right)_{F,F^k,\mathbf{P},F^{bg}}\qquad\left.\frac{\partial P_j}{\partial\tilde{w}}\right)_{\tilde{z}_j^{mo},F^k,P_{k(\forall k\neq j)},F^{bg}}=-\left.\frac{\partial F}{\partial\tilde{z}_j^{mo}}\right)_{\tilde{w},F^k,\mathbf{P},F^{bg}}$$

Modelling a simple Sustainable Economy

Consider an economy defined, as before, by a certain characterization, PFA and operating in the SEW. This economy has N inhabitants, t productive factors, h firms producing two priced products A and B to satisfy the demand of its population, p firms producing the x products it exports, and imports a variety of m different products. Also, this economy has a public sector that ensures (i) the economy operates sustainably, (ii) supply the system's conveniences and (iii) performs those tasks needed to improve the social infrastructure.

Let the economy be displaced marginally from a SEW point, for which the only possible changes are the quantity of units of the A and B products. Because the characterization, the NPFA and F do not change, the variable F^k and F^{bg} keep constant. Them, from the first differential of Yala function and the statement of Postulate 2 can be derived the following expressions:

$$-\left.\frac{\partial P_B}{\partial P_A}\right)_{Charact.,NPFA,F}=\frac{\tilde{z}_A^{mo}}{\tilde{z}_B^{mo}}=\frac{z_A^{mo}}{z_B^{mo}}\left(I\right)\qquad-\left.\frac{\partial C_B}{\partial C_A}\right)_{Charact.,NPFA,F}=\frac{\tilde{z}_A^{mo}}{\tilde{z}_B^{mo}}=\frac{z_A^{mo}}{z_B^{mo}}\left(II\right)$$

Equation (I) is the micro economical relation known as the relation of products transformation, or the marginal rate of transformation, from B to A. Similarly, equation (II) is the micro economical relation known as the relation of products substitution, or the marginal rate of substitution, from B to A.

The proposed formulation allow a different path to obtain equations (I) and (II). At any point in time, the sum of the *GDP*, associated to potential productive factors availability, and

the [$M - X$], associated to the potential factors availability that result from international transactions not related to goods exchange, is the price of the endowments available to the system. This result must be equal to the monetary sum of the total domestic consumption (that includes all end-goods, conveniences and the amount of money allocated to conserve the system as a whole) plus the system's total net savings, S_t. This balance can be write in terms of economic intensity as:

$$\frac{GDP + \left(M - X\right)}{dep} = \tilde{z}_A^{mo} \cdot P_A + \tilde{z}_B^{mo} \cdot P_B + \frac{T + O_{up}}{dep} + \frac{S_t}{dep}$$

$$\frac{GDP + \left(M - X\right)}{dep} = \tilde{z}_A^{mo} \cdot C_A + \tilde{z}_B^{mo} \cdot C_B + \frac{T + O_{up}}{dep} + \frac{S_t}{dep}$$

Where T is the amount of money allocated by government to public sector units' direct and indirect factors. Similarly O_{up} is the amount of money allocated by non-government public sector units. In the equations above it is valid to replace:

$$\frac{GDP + \left(M - X\right)}{dep} = N \qquad \frac{T + O_{up}}{dep} = Y^a + \tilde{w} \cdot F^{bg} \qquad \frac{S_t}{dep} = \tilde{w} \cdot F^k$$

Then

$$dN = d\left(\tilde{z}_A^{mo} \square P_A + \tilde{z}_B^{mo} \square P_B\right) + dY^a + d\left[\tilde{w} \square \left(F^k + F^{bg}\right)\right]$$

$$dN = d\left(\tilde{z}_A^{mo} \square C_A + \tilde{z}_B^{mo} \square C_B\right) + dY^a + d\left[\tilde{w} \square \left(F^k + F^{bg}\right)\right]$$

At the SEW the economic effort associated with one unit of each and all priced end-goods (A and B) are minimum. For the marginal displacement considered above N, F^k, F^{bg} and the average effort asociated to the unit of factor remains constant and the expressions (*I*) and (*II*) are also obtained from the last diferential equations.

As for the total system, at the SEW it is possible to write the balance in terms of economic intensity for any agent of the economy. For the *j*-consumer this balance is:

$$\tilde{w} \square F_j = \tilde{z}_A^{mo} \square C_{A,j} + \tilde{z}_B^{mo} \square C_{B,j} + Y_j^a + \tilde{w} \square \left(F_j^k + F_j^{bg}\right)$$

F_j is the amount of units of factor that have the agent *j*. The variables in brackets in the last equation symbolise the contribution in units of factor of agent *j* to improve the social infrastructure and to the production of conveniences, respectively. Then, for the marginal displacement considered above, for every $j = 1,...,N$ by differentiation of the last equation:

$$-\frac{\partial C_{B,j}}{\partial C_{A,j}}\bigg)_{Charact.,NPFA,F} = \frac{\tilde{z}_A^{mo}}{\tilde{z}_B^{mo}} = \frac{z_A^{mo}}{z_B^{mo}} \quad \left(III\right)$$

The same analysis applies to the *k*-firma, for every $l = 1,...,h$. For these cases the balance in terms of economic intensity is:

$$\tilde{w} \cdot F_l = \tilde{z}_A^{mo} \cdot P_{A,l} + \tilde{z}_B^{mo} \cdot P_{B,l} + Y_j^a + \tilde{w} \cdot \left(F_l^k + F_l^{bg}\right)$$

As for consumer agent, for the marginal displacement considered above, by differentiation of the last equation:

$$-\frac{\partial P_{B,l}}{\partial P_{A,l}}\bigg)_{Charact.,NPFA,F} = \frac{\tilde{z}_A^{mo}}{\tilde{z}_B^{mo}} = \frac{z_A^{mo}}{z_B^{mo}} \quad \left(IV\right)$$

For the case under consideration, equations (*III*) y (*IV*) allow to deduce that, at the SEW, the marginal rate of transformation for all the firms and the marginal rate of substitution for all consumers are equal.

In the space P_B versus P_A, the SEW is represented by a point. Consider a finite virtual displacement from the SEW to other points where the economy can only change the P_B and P_A quantities, thus there is a graph that represents the set of the feasible outputs of the products A and B an economy produces using efficiently the unique set of factors it allocates to this task. This output set is the production possibility frontier. The SEW is a unique point in this frontier and is the point of maximum efficiency for an economy that has achieved an optimum and sustainable level of economic wellbeing for all its inhabitants. Also the SEW is the unique point where it is possible to calculate the slope of the production possibility frontier graph. To calculate this slope let f_r be the amount of physic units of the r-productive factor used to produce A and B; and f_i the amount of physic units of the i-factor imported to produce A and B, then

$$f_r = x_{r,A} \cdot P_A + x_{r,B} \cdot P_B \qquad\qquad f_i = x_{i,A} \cdot P_A + x_{i,B} \cdot P_B$$

In these equations $x_{r,A}$ and $x_{r,B}$ are the quantities of physical units of r-productive factor used in the production of one physical unit of A and B respectively, and $x_{i,A}$ and $x_{i,B}$ are the quantities of physical units of i-imported factor used in the production of one physical unit of A and B respectively. For this simple economic system, the SEW is technically efficient if and only if $x_{r,A}$, $x_{r,B}$, $x_{i,A}$ and $x_{i,B}$ are minimum (Koopmans (1957). By differentiation of the equations

$$0 = x_{r,A} \cdot dP_A + x_{r,B} \cdot dP_B \quad \left(V\right) \qquad 0 = x_{i,A} \cdot dP_A + x_{i,B} \cdot dP_B \quad \left(VI\right)$$

Multiplying (V) by w_r and adding for all j, and multiplying (VI) by $z_{i,imp}$ and adding for all i, and adding them:

$$\left(\sum_{r=1}^{t} x_{r,A} \cdot w_r + \sum_{i=1}^{m} x_{i,A} \cdot z_{i,imp} \right) \cdot dP_A + \left(\sum_{r=1}^{t} x_{r,B} \cdot w_r + \sum_{i=1}^{m} x_{i,B} \cdot z_{i,imp} \right) \cdot dP_B = 0$$

Since the bracketed terms in last equation are equal to z_A and z_B, then at SEW the slope is:

$$-\frac{\partial P_B}{\partial P_A}\bigg)_{SEW} = \frac{\tilde{z}_A^{mo}}{\tilde{z}_B^{mo}} = \frac{z_A^{mo}}{z_B^{mo}}$$

The last equation expresses the same as equation (I).

Conventionally the stability is analysed upon the bases that the set bounded above by the production possibility frontier, is a convex set. The proposed formulation allows a new path to obtain the criterion of stability for the SEW, from the second order minimum condition for the Yala function. Thus, the stability of the simple system under consideration can be analysed using the formalism of Tisza (1950). In this way it is possible to obtain the following stability conditions:

$$\frac{\partial \tilde{w}}{\partial F}\bigg)_{P_A, P_B} > 0 \quad \left(VII\right) \qquad -\frac{\partial \tilde{z}_B^{mo}}{\partial F}\bigg)_{\tilde{w}, P_A} > 0 \quad \left(VIII\right)$$

The stability criterion posed by equation (VII), means that: as the aim of the inhabitants is to improve their welfare, those that belong to the subsystem with lower endowment of factors (the poorest) are going to migrate to the subsystem with the highest value of the average effort associated to one unit of factor. The second stability criterion, as expressed in equation (VIII) means: if the average effort associated with the production of one physical unit of B-product increases then the production of B-product must to decrease.

Conclusion

The formulated model derives microeconomic descriptors from macroeconomic analysis and, therefore, the model provides a useful linkage between both domains. Equations (I), (II), (III) and (IV) are the microeconomic relations that provide the conditions with a

Pareto´s optimum allocation (Pareto, 1909) must comply with, and they have been deduced from the proposed model. The concepts introduced yield themselves to the mathematical formalism of Legendre transformations, Euler theorem, minimum and maximum first and second order conditions, and relations of reciprocity, then making possible to derive a large number of potential functions and mathematical relations that provide a fertile ground for economic analysis. Finally, as shown in the example, this new characterization of equilibrium state expressed in the Second Postulate, allow to obtain two stability criteria whose economic content is: for a system with a given characterization, the spontaneous process induced by a deviation from the SEW is in a direction to restore the system to the SEW.

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IS IT POSSIBLE TO OVERCOME THE CRISIS IN THE DEVELOPMENT OF THE HUMAN SYSTEM[1]

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Abstract

The article states that developed a new methodology in the development of knowledge of the laws of the human system. This methodology made it possible to define that there have been and are only two paradigms of the human system development in the entire multi-century course of the human community development. Cycles, crises, chaos and all negative phenomena are nothing else but natural products of the second, indirect paradigm of development. The new model of living arrangement at each local level based on the direct relationship between production and consumption of a particular person, but a new high-tech level. Practical realization of this model is the only feasible precondition for the transition to sustainable and crisis-free development.

Keywords: systemic crisis, sustainable development, new methodology of cognition, objective, specific human being, time, efficiency criteria, two development paradigms, coordination of interests, new model of life organization.

Introduction

It was quite long ago that great thinkers and scientists in different parts of the globe started to think on how to transform the world organization in order to improve ecology, get rid of poverty, resolve the food problem, eliminate any possibility of periodically occurring wars, resolve the great mass of other problems and have the crises shattering all foundations of human existence be gone into the past forever. Many widely-known academics focused their research on resolution of these most difficult problems. We will try to express their views on these issues.

The global systemic crisis, hitting all facets of the human community's life, is becoming the ever more profound and wider in scope. This fact has been recognized by all summits of G8, economic forums in Davos, Saint-Petersburg and other regions of the world, and G20 summits including the latest one that took place on September 5-6, 2013 in Saint-Petersburg, Russia. The panic, occurring periodically in the world markets (including the market of raw materials), every time is generated by publication of negative data on all regions of the world – i.e., US, Europe and China.

For example, in 2012-2013 many countries demonstrated their unstableness and omnipresent worsening of the economic situation. In particular, American market indices were melted down by the unfavorable statistics of the labor market, where the job-generation rates lag behind the desired parameters. While 200-250 thousand new jobs were required to be created every month during a many-month period of time, in reality the generated number was much less than needed - in August 2013, only 169,000. Therefore the level of unemployment in the US remains very high (7.3%). The growth rates of the global and US economies are

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slowing down, and this circumstance is being aggravated by the debt crisis in the Euro-zone, which is moving steadily to deep recession.

China's economy, too, demonstrates the slower growth rates. In April 2012, industrial production in China slowed down abruptly – its annual growth rate, 9.3%, was the lowest in the last three years. In the first four months of 2012 investments in fixed capital grew just by 20.2%, which is the worst result for China's economy in the last 10 years, while the growth of retail trade and export slowed down as well. Investors and economists once again started to talk on the threat of China's "hard landing" and to call for resolute measures that would stimulate economic growth. But, as experts in China's economy suggest, in order to become "an engine of global economy", the Sub-Celestial first needs to make its people wealthy. However, in this case China would lose its main advantage – that is, cheap labor.

India , with its second largest population and tenth biggest economy in the world, by making the stake at development of the innovation sector, also has faced the crisis situation. In the second quarter of 2013 its GDP growth rates amounted to 4.4% instead the expected 4.8% per year, while the Indian Rupee exchange rate vis-à-vis the USD dropped to historical minimum. Only within one month of August 2013 Rupee went down in value by 8.1%. Meanwhile, according to some expert assessments, the crisis in India can catalyze new recession in the entire world. Corruption, inflation, expensive credit and paralysis of authorities result in the outflow of capital and termination of business projects. In particular, this applies to strategic sectors, where the state actively regulates the process, while in the less regulated spheres (fo,r example, IT and pharmacology) the situation is more favorable. In this sense India differs strongly from China, where exactly the sectors with strong presence of the state and use of cheap labor drive the progress of national economy.

Another key emerging economy – Brazil, too, is sliding down: its growth rates as forecasted by world's leading banks for 2013 have been reduced to 2% or even 1.6%

The year of 2013 continues to demonstrate deterioration of the global market situation, the growing crisis-ridden global climate and the further reduction of growth rates. Japan resorted to additional cash emission although today many experts in the world warn that such government measure of support would not so much prevent the crisis phenomena growth but rather result in appearance of new "bubbles" in the market and hence new shocks in future. As predicted by the analytical service of "The Economist" journal, in 2013 the global GDP will grow by 2.9% while in 2012 it grew by 3%, in 2011 – by 3.8% and in 2010 by 5.1%. The trend is quite unfavorable trend. [Baranikas, 2013]. That is, no way out of the lingering crisis is seen anywhere.

In Russia, too, the Ministry of Economic Development cut down the major economic forecasts and in September 2013 the head of this agency stated that by results of 2013 Russia's GDP growth rate (1.8%) would be unsatisfactory. Having said so, the minister described the current economic situation as the worst since the global crisis of 2008. Another obvious fact is that investments in the economy are sliding down, the industrial production growth is expressed in negative indices, the technological progress is nil, the financial and banking system does not function, the outflow of capital as well as foreign debt are growing, and the central bank reserves are diminishing – that is, aggravation of the economic situation is evident along all vectors.

Basing on the rapid slow-down of all processes, the RF Ministry of Economic Development has recognized officially that the Russian economy is crawling into recession, which can bring wage-freeze and growth of unemployment for the bigger part of the population. What is even more important, the Ministry has recognized that it does not see a possibility to reverse this trend and that no solutions for any of the problems have been found.

Many economists hold the view that all the current developments in the world serve an ample evidence of the already surged second wave of the crisis. However, the monetary means, being used (as they were before) to resolve the problem – such as printing of money

and its investment in all sorts of assets (shares, raw resources, or real-estate property) for resale purposes are prevailing over investments in the fixed capital, and this latter circumstance would result in the further slow-down of growth. That is, the old models designed to counter the crisis by monetary injections into economy work no longer, and hence this mode, too, is not an anti-crisis remedy that would eliminate the prime cause of the crisis. Moreover, on the one hand, it is recognized that at the present time no serious discussion is underway on what must be done for elimination of the crisis. On the other hand, since the latest World Economic Forum in Davos and through to the G20 summit of September 2013 in St. Petersburg, we hear the ever more loudly voiced arguments that the crisis of 2008 and its current second wave signify the crisis of the contemporary economic model. In such circumstances, unless the root-cause of the economic crisis is identified, any system of institutes and mechanisms designed to remove tensions during realizations of anti-crisis measures would be inefficient, to say the least.

So, we should state the fact that now, on the one hand, the rhetoric of the academic discourse has changed and the discussion moved from partial problems (to enhance, accelerate, modernize, reform, etc.) to comprehensive problems. Now, as never before, it becomes necessary to have a visionary view of the current crisis situation in the world and to undertake a search of new models of economic evolution and new concepts of economic development. However, in order to proceed to a new model of economic development, it is necessary to have a theoretically verified and practically feasible idea of the given model.

On the other hand, we should also admit that the global systemic crisis growing in scale, applies to all facets of the human-community life, and nobody know what are its in-depth objective causes and where is the way out.

So, the formula to overcome the crisis is unknown and this fact the ever more often motivates us to turn to history and look for an answer therein. The findings, however, are not at all encouraging. For example, Dr. Jeffrey Sommers – Professor of political economy and government policy at the University of Winconsin-Milwakee, USA, and participant to the first Moscow Economic Forum of March 2013, while discussing the measures of strict saving in the circumstances of looming recession in Russia, says that his biggest concern about such measures can be described by Mark Twain's words: "History does not repeat itself, but it does rhyme a lot." Therefore, says Sommers, he is afraid that the measures can have an adverse result, as the last time the strict economizing was applied in Germany, Italy and Japan, in the period between the first and second world wars – and resulted in fascism. Sommers does not insist that exactly the same can happen now, but he suggests that the outcome can be quite unpleasant. Je notes that economizing may not be imposed on people all the time — ultimately, they will react, and nobody knows what kind of reaction that would be [Astashenkov 2013].

Another American economist, Paul Farrell, and some others, while trying to find a formula to counter the crisis, openly offer a rather untraditional way out from the recession. He suggests that the world can be saved from the crisis by nothing but a new big war. According to Farrel, wars stimulate economy, and exactly the war helped the US to get out from the most serious economic collapse of the past century, the Great Depression.

Inter alia, there are many opponents of this theory, because a big war would have so catastrophic consequences, including the economic ones, that there could be no talk about any growth [Crasnova 2013]. The tough confrontation between the two positions was made visible at the G20 summit in St. Petersburg. The issues of the current situation in the Middle East and, in particular, preparation of the US armed action against Syria made the main theme of the summit, while the major question – what should be done to overcome the crisis – was left unanswered.

Such understanding of the causes of the crisis is based on what the Russian Federation President Vladimir Putin said at the working meeting of the G20 Summit on September 6,

2013: "Our experts shared the unanimous view that substantial reduction in the volumes of long-term investments became a key factor of the slower economic growth and the stagnation in the sphere of unemployment. And, we see a whole complex of problems, such as: fragmentation of the European Union's banking system, shrinking of the fiscal space, reduction of credit potentials of development banks and toughening of financial leverage. Exactly for these reasons, Russia set forth a proposal to channel the collective efforts to the search of new sources for financing of investments" [Russia G20 website 2013]

Exactly because of the methodological vacuum we not understand the objective root-causes of the crisis and cannot see a way out. Therefore we cannot find the means to overcome it and to proceed to the evolutional crisis-free road, to transition from the asocial model of economic development to adoption and realization of the economic growth concept and strategy oriented to priority development of the real sector as well as development of humans as such and their qualities.

In his book *Globalization, Transformation, Crisis – What's Next?* Rouslan Grinberg notes: "Economics and sociology arrived to one shared conclusion: organization and functioning of the surrounding world is the ever less comprehensible, as it becomes the ever more illogical and hence uncertain" (Grinberg 2011: 9).

Hence the question, being asked these days by many scientists and scholars: "Are the world civilization development crisis, wars, terrorism as well as manmade and natural disasters to be seen as temporary phenomena and casual events, or rather as a chain of causal-and-effect relations being a result caused by the effects of profound laws, which apply to nature and society and which lay in the basis of co-evolutional development of the world system?"

Therefore, the main precondition to proceed to crisis-free development is to receive and master knowledge on objective causes of the global crisis, to find access ways to the crisis-free development road and to understand the implications of each decision being taken. The time for development by the trial-and-error method has passed irreversibly.

New methodology was constructed for cognition of regularities in the human system development

In the course of the recent thirty years we, too, have been conducting research aimed at identification of objective causes for the crisis condition in the human system development as well as at visualization of the future. To this effect, it was required to do research at the visionary level, and as a result the new methodology was constructed for cognition of regularities in the human system development.

The essence of the new methodological tool-kit and its scientific novelty are represented by the fact that it is based on the discovered objective target in the human community development. In order to arrive at this conclusion, it was required not only to define the goal of the human system development, but to identify the final objective that cannot be a sub-goal of a higher objective within the mundane human existence, but represents the objective reason of the human system development – and then to understand that each specific human being, each individual does not live in order to provide for GDP growth or to manufacture the biggest possible amount of weapons for self-annihilation. A human person must and can live in order to develop and realize maximally his/her spiritual and intellectual potential while at the same time raising the level of consciousness and physical perfection.

In other words, each specific human individual in his/her development must and can attain the Supreme Reason or to reach the image and liking of the Creator. Otherwise, development would follow a different, entirely opposite scenario – i.e., the blind-alley option: retrograde development for the purpose of starting everything anew, or a catastrophic finish, the apocalypse. Even now some technologies have been created that can very well work

without human interference. For example, the IBM Corporation is working on the Smart City project providing for interaction of municipal intellectual systems without involvement of human mind.

The modern bio-computers can force human cells to communicate independently with one another so that this would pave the way to construction of their complex configurations. Hence, to overcome and eliminate crises and all problems facing the government, business and society at large would be only possible if all decisions in the end provide for continuous, evolutional and irreversible movement towards attainment of development objective. Only in such a case it will be possible to find a way for sustainable development and practical realization of the "Millennium Development Goals" (by our logic – the sub-goals of the higher objective), announced by the UN as the guiding landmarks for all nations of the Earth.

Held in Rio-de-Janeiro, the UN Conference on Environment and Development of 1992 formulated the major ideas on sustainable development of the humankind. The sustainable development concept fundamentally differed from traditional views and economic practices in the sense that it contained an integral approach to development as an overall process. At that time the sustainable development was defined schematically as a "triune" interaction process of "nature – population – economy". However, for this classical triad to be viable, its emphases must be modified in the context of our visionary approach as "goal – sustainable – development". The sustainable and steadfast movement ahead – i.e., development must and can be only provided in relation to nothing else but the objectively set goal.

Therefore, whether we like it or not, the society should develop so that to create, for any human individual, the area of habitation, in which equal and free access to all diversified benefits of civilization would be available – not in order to reach a new level of 'consumerism' or supremacy of technologies over humans, but in order to attain the final objective – let humans become perfect. This is the human being's mission on Earth, and it must be fulfilled!

The second component of the new methodological toolkit – integrity, systemic nature and cross-disciplinary approach – proceeds from the basis that the world is single, the laws of nature and society are in unity, while the world is an integral system and can be cognized only with unification of all scientific and spiritual knowledge into some unified, systemic, integral and cross-disciplinary (or, rather, trans-disciplinary) knowledge. Therefore all these elements had to be unified systemically through identification of the target function of development of the entire system and its any part in any section (civilization-related, formational, national, confessional, territorial, natural-scientific, socio-economic, socio-cultural, political, organizational, etc.), and irrespectively of whatever development model (neo-Liberal, Keynesian, totalitarian, or a mixture thereof) would be prevailing. Only through such knowledge one would understand that the financial, economic, social, organizational, science-tech and, as a whole, systemic crisis in the world as well as all existing negative phenomena are links of the same chain. Therefore the decision, too, must be integral, systemic and unified for the entire world, but the interests of all people living on the planet must be taken into account.

Third, we identified the only possible index to measure and juxtapose all processes and phenomena – that is, time. By applying the latter, we can measure and juxtapose in other indices something immeasurable or incomparable, and, what is the most important, to correlate all facets of human and societal life with the target ideal, and to find out as at what step of human progress they are located in relation to the objective.

Fourth and finally, the new methodological toolkit contains the single criteria of efficiency of the human system development – the time between the need to approach realization of the single objective of development and the reality, in which society (in whatever the section) and each specific individual are placed in relation to such objective. If *the time between* arising and satisfaction of a specific individual's need tends to reduce

continuously and evolutionally, as well as gravitates to zero, then the human system develops in relation to the objective sustainably and efficiently. This conclusion provides us with the absolutely new understanding of the human system development. Application of this criteria helps to control time between arising and satisfaction of any need of any specific individual. To control time means to control development so that to ensure evolutional and irreversible reduction and approach the criteria value, equal to zero. Only in this case the human system would start developing sustainably in relation to the objective in the interests of any specific human individual.

The fundamental conclusions are obtained using a new methodology of knowledge

In the theoretical plane of the new methodology, the time between arising of a need and its satisfaction in terms of the goal attainment is *the vector of time (or axis of time) from infinity to zero* (see Fig. 1).
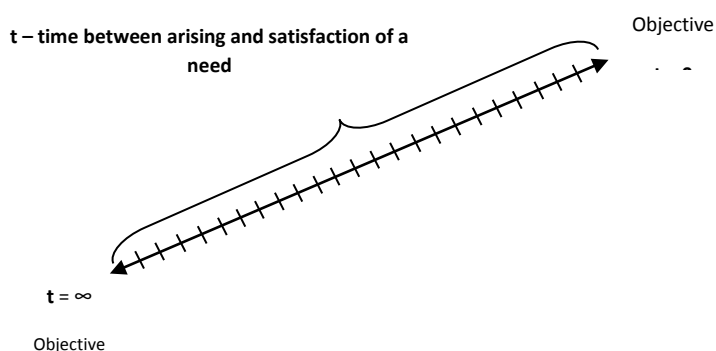
Fig. 1. Vector (Axis) of Time

Development of the humankind and its different structures in whatever the section – through to a specific human individual – is distributed along this vector in different points, and at any given moment the time between arising and satisfaction of a need can reduce or grow, thus approaching or moving away from the goal. The time vector represents the linear vision of the problem which can be discussed, if the human community's life is considered in statics, as of the given moment of time. In reality, in dynamics, everything takes place much more complexly. Today the time between arising and satisfaction of needs is different for different communities, and its not coincide either as of the given moment or in dynamics. Moreover, the processes of change in the time can be positive or negative, cyclical and undulated, direct and reverse. If these processes are considered not in relation to communities but to a specific individual, then the numerical value of this diversity would be most probably determined by digital values in multiple degrees. So, every human individual lives in a kind of his/her own sphere, under the effect of his/her own centrifugal and centripetal forces, within some Brownian motion, in his/her own microcosm which does not coincide with the microcosm of others (see Fig. 2). This would produce a peculiar hyper-tetrahedron of the habitation area, and each specific human individual is situated in the center thereof. Vertexes of this hyper-tetrahedron would be equidistant from the center, when the whole humankind happens to be in one and the same space of time, and when the time between arising and satisfaction of a need will be equal for all people. Such outcome can be only attained if equal access to the maximum variety of goods is available.
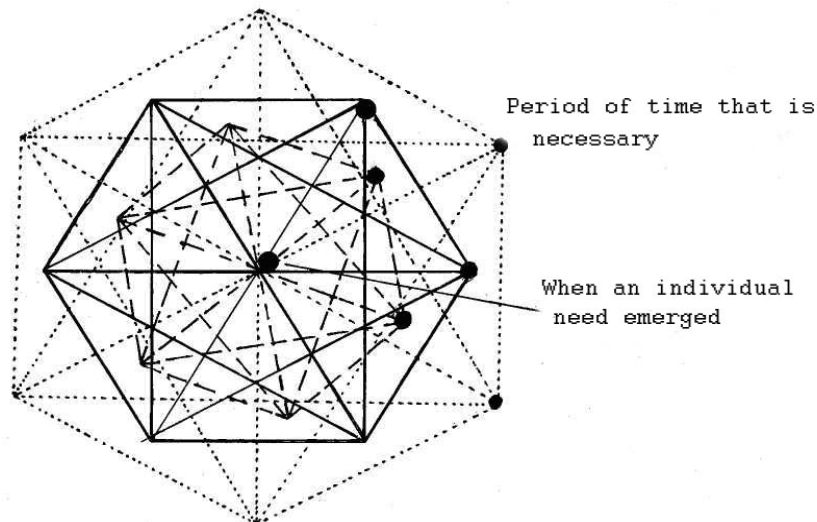
Fig. 2. Microcosm of Human Individual

So, if civilizations, nations, countries, small and large communities as well as separate individuals stay in different linear and spherical spaces of time, they would have different levels of consciousness and would never be able to conciliate their interests or understand one another. Exactly this circumstance is the cause generating the origination and aggravation of all troubles of the humankind. Hence, the crisis in development of global civilization, wars, terrorism, man-made and natural disasters are a result caused by the effect of profound laws common to nature and society. Moreover, as long as people stay in different linear and spherical spaces of time, it will appear that the planet hosts many local civilizations, which are different from one another and which were described in length by Spengler and Huntington.

Therefore to resolve all the problems incurred in society development and to modernize the latter on the basis of R&D and realization of advanced technologies of the 21st century would be possible provided only that the road is found which in the end will provide for continuous, evolutional, irreversible and simultaneous attainment of the objectively set development goal for each concrete human person with due regard of his / her individual interests.

This methodology and results of its applications are described in detail in the book "Forecasting the Future: A New Paradigm"[2], published by the "Economika" publishing house in 2008, as well as in numerous articles published in Russia and other countries.

As a result, the methodological toolkit made it possible:

to surpass the limits of the entire human system and to see it as a unified whole of "past-present-future" in relation to the objectively set development goal;

not to rely upon empirical and subjective data of the past and present;

to comprehend the objective picture of the human system development depending on the positive (sustainable) or negative (unsustainable) orientation to realization of the unified, single objective.

This methodological toolkit let us see that in the whole course of many centuries-long development of human community, there have been only two paradigms of the human system development:

the first one proving that there is a direct connection between production and consumption; and,

the second one proving that production and consumption are interconnected indirectly.

The schematic outlay of human community development, presented by Fig. 3, demonstrates when and how each development paradigm formed, is forming and can form in

future along or around the axis of time equal to zero, between the moments of arising and satisfaction of a need.

According to this outlay, the entire history of humankind can be divided into three phases.

Phase 1 is featured by prevalence of the *first development paradigm* expressed in direct connection between production and consumption.

This figure represents the graphic outlay (chart) of the human community development.

For clear and correct understanding of this chart it is necessary to provide the following clarifications.

The horizontal "X" axis is addressed to development stages of the entire human community subject to the prevailing mode of production (pre-industrial, industrial and post-industrial). The "X" axis reflects the minimal (zero) time between appearance and satisfaction of a human need.

The value, placed on the vertical "Y" axis, applies to the status of time between the appearance and satisfaction of a need.

The upper and lower curves, equidistant from the "X" axis, show the eventual change (deviation from the zero) of the need-satisfaction moment subject to the mode of production and the domination of some or another paradigm of the human community development.

So, this chart makes it visible:

as how, when and what particular paradigm related to the objectively set goal was and is being formed and may be formed along or around the axis of time (the axis of "X" = 0);

that the wider the deviation from the "X" axis, the longer the time between manufacturing of a product (commodity) and satisfaction of a specific human's need therein;

that the longer the time between the appearance and satisfaction of a need, the bigger the probability that crisis conditions would arise in the human system development.

Hence, as we see, the entire mankind development can be divided in three stages.

Everything that was produced at that level of manual labor being mastered by humankind was consumed thereby. Hence the time between the arising and satisfaction of a specific individual's need was minimal. That was the pre-industrial type of production – any manufacturer was producing goods for him self and, by order, for specific consumers at the household level (craftsmen).

Advent of primitive technologies, division of labor, market, class of brokers (merchants) and the universal equivalent to exchange with results of such labor – that is, money, as well as the gradual territorial expansion and development of foreign trade – all these resulted in transformation of direct interconnection between production and consumption into indirect one. Thus the *second development paradigm* was taking shape, and its development in time and space was accelerated by transition to the industrial type of development.

The industrial revolution, epochs of steam and railroads, steel, electricity and heavy industry, oil, automobile and mass commodity production entailed building the consumer-communication infrastructure including the network of roads, ports, shops (from small shops through to grand shopping centers and highly mechanized warehouses), radio-technical, electric and information networks, etc. Those were the major landmarks that evidenced formation of mass, conveyer-type industrial production (accompanied by development of domestic and foreign trade as well as territorial expansion through to the global level) and mass consumption. Production of such type is oriented to satisfy demand and needs of abstract end consumer through the elemental, archaic, mediated by longer time and space and market-based form of communication with any specific human individual.
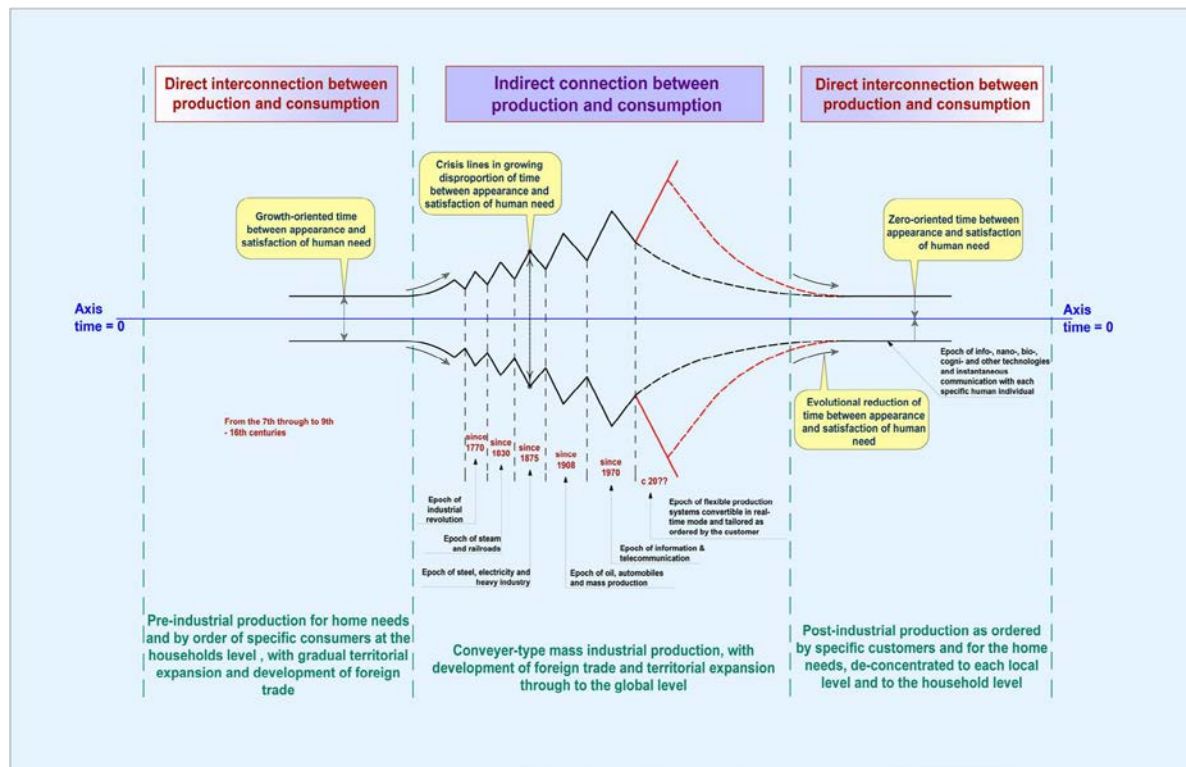
Fig. 3. Schematic Outlay of Human Community Development

In such circumstances uncertainty of production resulted in appearance, and then global growth of disproportion, and then entire de-synchronization between the time of production and the time for circulation of goods / money. The dynamic of movement of material and real factors of production, despite their multiply grown volume, happened to be torn far apart from their monetary form, both the real and (especially) the virtual. Monetary methods of coping with financial crisis made this gap in the movement of real products and money even wider and contribute to the further growth of disproportion between the time for production and time for circulation of commodities and money. As a chain reaction, the financial crisis is growing the ever more rapidly to the level of systemic crisis. Therefore it is clear why philosophers, economists and political scientists, proceeding from the works written on the basis of empirical information about on the already occurred events of the past, started to argue that complexity, nonlinearity and chaos as well as cycles and crisis are an inevitable condition for development. This would be the case – unless we understand that all the afore-listed phenomena are a natural product of the second paradigm of development.

Diogenes of Sinope, who lived as long ago as over 300 years B.C., was correct when he said that the person, who had invented a plough, made a very adverse favor for the mankind, since that invention enabled people to produce more products than the producers needed for their own survival. That is, the crisis of the currently existing life-organization model, with its due-to time and space interconnection between production and consumption, started long ago, since the moment of the given model's inception.

Appeared in the 1970s, information technologies providing for direct communication with consumers, and flexible production systems that can be adapted to specific orders in the real-time regime, did not change the given development paradigm, and did not consolidate the embryonic opportunity to establish direct connection between production and consumption and to conciliate their interests. Information technology became "an end in itself" for development and a means to create global markets.

So, the essence of the second development paradigm is seen in the indirect and desynchronized (both in space and time) interconnection of different commodity production technologies and consumption of such commodities by a specific human individual.

All crisis of this development paradigm occurred at the peak of growing time-related disproportion between the arising and satisfaction of a need. The current systemic crisis is the peak of the given development paradigm. Globalization of all relations in its current form, started to negate itself as soon as it appeared.

Why so?

Together with globalization of all processes and the freedom in movement of ideas, goods, money and information, the conveyer-type mass type of production survived and its length in space has grown to the global level. Time between arising and satisfaction of a specific individual's need has become even longer. It does not appear possible to conciliate interests of states, society, business and specific individuals. This long road of time and space, available for the afore-mentioned movement, offers perfect conditions for absolutely all negative phenomena. Poverty and inequality, primitive economy, underdeveloped production and trade, terrorism and corruption, natural abnormalities and disasters, growing prices and inflation, etc., – all these are links of one and the same chain, and a product of the indirect development model. In the given case, the factor of time plays an extremely negative role. In such circumstances the scattered and narrowly specialized scientific knowledge undergoes crisis in the solvency of different theories and there explanatory abilities to make a subjective assessment of the occurring events.

However, in the age of cosmic speeds and application of digital, info-, cognitive, nano- and other technologies, we see onrush change of economic and other realities that are incompatible with such a type of production and consumption, and, in particular, with such a type of interconnection with a specific individual and with impossibility to conciliate specific individuals' interests.

New model to be applied for life organization

At the same time, it is only now, owing to development of ICT and other high technologies of the 21st century that we again have an opportunity to proceed to the direct connection between production and consumption – that is, again to proceed to the first development paradigm.

An efficient means to eliminate disproportions and de-synchronization of all processes in time and space can be found provided only that production-consumption relations are properly synchronized, and interests are agreed with each specific human individual within the whole range of her/his spiritual and material needs, while goods and services that would satisfy the given needs would be produced under the given individual's order, without manufacturing anything redundant. Only such production, oriented to satisfaction of needs of a specific individual under his / her order, would serve the basis for preservation and replenishment of natural ecological life-support systems for the current and future generations.

Return to the first development paradigm would provide for resolution of the two interconnected strategic tasks, that is:

to modify the contents of economic and social policy by the state so that it would be aimed at transition to reproduction trajectory of domestic development, provided only that the entire process of reproduction would be oriented to the ultimate result – evolutional reduction of time between arising and satisfaction of needs (demand) of each specific individual. This can be attained provided only that commodities are produced under the order of any specific individual.

To this end, it appears necessary to draw and realize a program for re-industrialization of the entire production – that is, to put production on the track of advanced engineering and technologies connected with attainments of science-tech progress. The end target is to have smaller high-tech forms of production with distributed systems that can be "re-tuned" in the

real-time regime with due regard of a specific individual's order covering the whole range of the customer's needs;

At each local level, to form a mechanism of real-time conciliation of all actors in such relationship – that is, the state, business and end consumers (specific individuals). As a result, only a minimum number of problems that cannot be coordinated at the local level would be presented for conciliation of interests at the regional or national level. Such conciliation must be realized through the shared cross-communication infrastructure, universal for all types of production and all consumers, and based on application of digital information and communication technologies, broad-band television and other innovations that are so widely and eloquently discussed at all domestic and international levels.

Fig. 4 presents the outlay of the new model to be applied for life organization at each local level and in fact representing the former, first development paradigm based on direct interconnection between production and consumption elevated to the new technological level as well as on development of information systems for direct communication of humans. Such technologies are already available to satisfy almost the whole range of human needs.

As early as by the end of the 20th century, when information technologies just appeared, E. Toffler wrote that quite soon everyone, operating his/her personal computer, would control the technological process to manufacture products for her/his personal consumption without producing anything redundant.[3] Today, for example, Toyota disclosed its plans to develop interactive communications between owners of its brand cars, dealers and head office of the given company. The social network that would unify millions of people throughout the world was to start functioning in 2012. The system would be based on technologies of corporate social networks, and access thereto will not be available for outsiders. "Social networks change the means of communication and format of interaction among people", said Toyota President Akio Toyoda.

The new social network will be named "Toyota Friend". The users will be able to "communicate" with their cars by sending messages like they do in Twitter and Facebook, while every car will have its own profile. On the other side, electric motor cars will be able to send SMS to the owners' mobile phones in order to remind that, for example, time is coming to charge the battery. Thus, drivers would be able to conduct a sort of conversation with their own cars.[4]

In her book "Technological Revolutions and Financial Capital", Carlota Perez writes that technological revolutions occurring once per about half-century deliver its fruits with some time lag. It takes two or three decades of turbulent adaptation and assimilation before the new technologies, sectors and infrastructures would start facilitating the advent of the "golden age" (*belle époque*), or "era of prosperity" [5]. That is, owing to technologies of the 21st century that were originated some thirty years ago, production again returns to the local, through to the household level, to a specific human individual.

Consideration of each individual's interests at every local level and conciliation of such interests in real-time regime are the only available driving force that would provide motivation for the higher productivity of labor and accelerated innovative development of socially oriented high-tech forms of production. In such conditions, every specific consumer can become a stakeholder and investor of the given business. Today, however, notwithstanding the crisis, reduction of deposit interest rates and growth of inflation, Russian depositors increase their bank deposits. Hence, the wider disproportion between the time of production and circulation of commodities and money. Channeling of those funds directly to the real sector would help in the more efficient resolution of the task to make our economy much less dependent on raw-resource supplies and to enrich it with the long-expected intellectual dimension. This will be attained owing to arising of new possibility to create conditions for any person to generate new knowledge in the interests of the entire society and at the same in his/her own interests. Only in such conditions it will be possible to build

actually the new, "smart" economy, based on intellectual excellence and production of unique knowledge as well as oriented to continuous improvement of human life quality. Only in such conditions it will be possible "to replace the resource-based primitive economy by smart economy producing unique knowledge, unique things and technologies, as well as things and technologies being useful for people". And, only such economy will be the most competitive in creating an absolutely quality of life for people.

Fig.4. New Model of Life Organization at Every Local Level
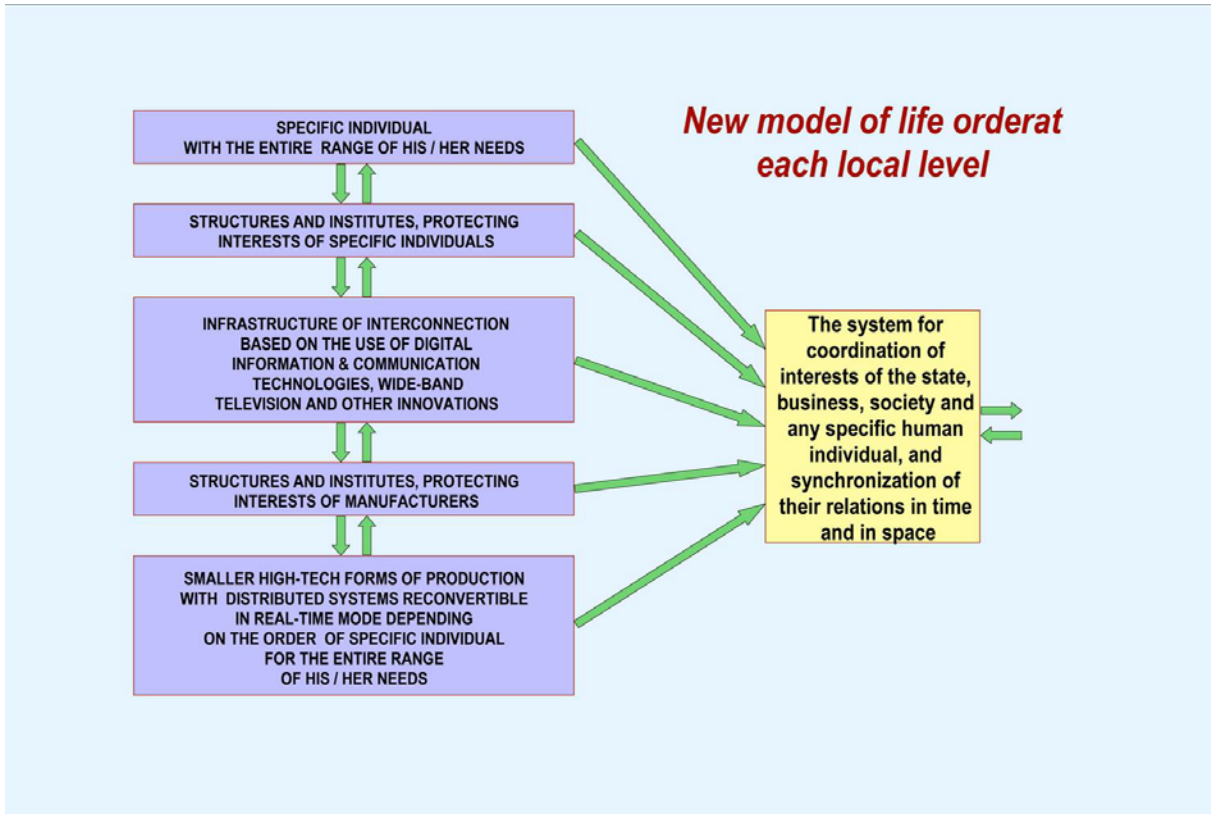
Our proposals

For accelerated formation of the new and at the same time former model of life organization, it appears rational:

Within the shortest period of time to accomplish modernization of Russia and any country of the world through transition to the model of life organization for the state, business, society and each specific human individual with due conciliation of their interests in the real time by systemic application of advanced technologies of the 21st century. As the major precondition for realization of this task, national leaders must have political will to form such level at the municipal, regional and federal level;

Within the shortest periods of time to draw the "Comprehensive Target Program for Formation of the New Life-Organization Model" and to realize the latter at each local level;

for elaboration of such "Comprehensive Target Program", it would be advisable to establish, within the Russian Academy of Sciences, Russian Academy of Natural Sciences and academic communities of concerned countries, an inter-academy and inter- institutional cross-disciplinary of academics and practical specialists;

To provide for participation of all national science towns and innovation towns as well as the entire global intellectual community, unified by network cooperation within Internet in development of the afore-described model with due regard of tax preferences and legal acts. For realization of this program, it is most strongly required to "energy of youth" – that the best young minds of IT-specialists, software and hardware engineers, researchers, inventors, and others. Armed with new knowledge and understanding of the fact that this projects meets their own interests as well as interests of their relatives, friends and whole society, young talents would be able to formulate their demands to the state and business in precise terms and to build the basis for realization of the new sustainable development paradigm;

To provide for transfer of the new life-organization model throughout the whole territory of Russia and, probably, the entire planet – may be, under the auspices of the United Nations.

As early as in the book "Forecasting the Future: A New Paradigm" the author noted: "The key to the philosophy for building the global society and all its institutions must be served by the following premise: All inhabitants of the Universe share the same origin; all people share the same human nature; all religions share the same divinity, while the entire global community and each human individual share one the same sole objective – to attain the Supreme Reason in their development". The major task of the UN or any other institute, established on its basis or within its framework, will be to include a structure that would accumulate all knowledge — from origination of the Humankind through to the current time. From this science-tech data pool, it would be possible to receive any knowledge so that in any corner of the planet technological chains could be built between arising and satisfaction of a specific human need, and thus to provide the growing synchronization of all processes in space and at the same for their reduction in time. The missing knowledge is an order for new R&D, new research, experiments and designs"[2].

Realization of the given project for the entire global world would be a breakthrough to the future, in which the "sustainable and crisis-free development" would at last become a logical and regular reality rather than a beautiful abstract slogan. Such a future can and must be formed right today, here and now, with due regard of each specific individual's interests as well as interests of the entire global world. For the contemporary generation of people, harmonization and synchronization of human relations in time and space is the only available chance to create a new quality of life for our contemporaries as well as for future generations. The main point is not to lose time again and not to admit a destructive wave of the new crisis!

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PERSONAL QUALITY AND TQM
THE USE OF PERSONAL CHECKLISTS TO FACILITATE TQM

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Abstract

Unless quality is internalized at the personal level, it will never become rooted in the culture of an organization. Therefore, quality must start at a personal level. Employees who embrace quality as a personal value, often go beyond what they are asked or normally expected to do in order to reach a difficult goal or provide extraordinary service to a customer, leading to Total Quality at the workplace. However, no known studies in Lebanon were conducted to investigate the importance and implications of personal quality and personal checklists at the workplace. This survey studied the attitude of the administrative middle managers in Lebanon toward the importance and implications of personal quality, in general, and the use of personal checklists to facilitate TQM, in particular. The researcher conducted an exploratory survey using a 9–item questionnaire with middle level managers. The researcher concluded that the attitude of the administrative middle managers in Lebanon towards the importance and implications of personal quality can be considered positive in general, and that those mangers admitted that the use of the personal checklist can facilitate TQM or can be considered a tool to apply TQM at the workplace.

Keywords: TQM, Quality, Personal Quality, Personal Checklist

Introduction

Unless quality is internalized at the personal level, it will never become rooted in the culture of an organization. Therfore, quality must begin at a personal level – and that means you! (Evans, Lindsay, 2008). As a member of the emerging generation of business leaders, mangers have an opportunity and a responsibility to improve the quality of their companies and society, not just for products and services, but in everything they say and do. Total Quality Management (TQM) is a management approach that aims for long-term success by focusing on customer satisfaction. TQM is based on the participation of all members of an organization in improving processes, products, services, and the culture in which they work. One survey, conducted by a management consulting firm in Massachusetts (Rath and Strong), revealed that personal initiatives, when combined with a customer orientation, resulted in a positive impact on business success and sales growth rate. Employees who embrace quality as a personal value, often go beyond what they are asked or normally expected to do in order to reach a difficult goal or provide extraordinary service to a customer (Evans, Lindsay, 2005).

Literature Review

A definition of total quality (TQ) was endorsed in 1992 by the chairs and CEOs of nine major U.S. corporations in cooperation with deans of business and engineering departments of major universities, and recognized consultants: "Total Quality (TQ) is a people-focused management system that aims at continual increase in customer satisfaction at continually lower real cost. TQ is a total system approach (not a separate area or program) and an integral part of high-level strategy; it works horizontally across functions and departments,

involves all employees, top to bottom, and extends backward and forward to include the supply chain and the customer chain. TQ stresses learning and adaptation to continual change as keys to organizational success." (Evans, Lindsay, 2005) On the other hand, Procter & Gamble uses a concise definition: "TQ is the unyielding and continually improving effort by everyone in an organization to understand, meet, and exceed the expectations of customers."

Furthermore, Total Quality Management (TQM) is a process involving management and employees continually finding ways to improve their products and services. It's a combination of quality and management tools seeking to build up new business growth as well as to reduce unwanted waste while aiming at increasing productivity and profits. Total quality management incorporates the knowledge and experiences of workers using appropriate methods the first time and every time to enhance the quality of products and services. To ensure good quality work and performance, management needs to keep their workers happy and satisfied. Management needs to provide better and improved equipment along with clear task instructions for employees to follow if it wants its workers to do their job well. Keeping workers happy will encourage better performance and productivity, and will help the employees to stay at their job longer. Moreover, giving opportunities to employees and empowering them to make decisions on what they know best will decrease stress on management and improve the work environment (How TQM is Going to You're your Life Easier, 2003). Today, companies are asking employees to take more responsibility for acting as the point of contact between the organization and the customers, to be team players, and to provide more effective and efficient customer service.

According to Salvatore Moccia, in his article titled "The role of personal values in an advanced perspective to Total Quality Management", it seems clear that personal values and quality can play an important role in the implementation of TQM programs, being the stimulators of workers' motivation. His paper represented the first attempt to integrate into TQM theory the quality values of people called upon to implement TQM programs (Moccia, article).

Bob Galvin, formerly CEO of Motorola, has listed "The Welcome Heresies of Quality", in which he contrasts the "old testament" (ot) and the "New Truths" (NT). The first items on his list are: ot – Quality control is an ordinary company and department responsibility; and NT – Quality improvement is not just an institutional assignment, it is a daily personal priority obligation (Roberts, Sergesketter, 1993). Galvin made it plain that one key to implementing a strong quality program is personal quality. Managers can not delegate the concept of quality. One the basic views of leadership is that managers don't ask others to do what they are not willing to do themselves. In fact, managers will make progress fasters by leading and showing the way than by drawing maps and telling folks where to go (Roberts, Sergesketter, 1993).

The concept of "personal quality" has been promoted by Harry V. Roberts, professor emeritus at the University of Chicago's Graduate School of Business, and Bernard F. Sergesketter, vice president of the Central Region of AT&T. Personal quality may be thought of as personal empowerment; it is implemented by systematically keeping personal checklists for quality improvement. Roberts and Sergesketter developed the idea of a personal quality checklist to keep track of personal shortcomings, or defects, in personal work processes. In their book Quality is Personal: A Foundation for Total Quality Management, Roberts and Sergesketter defended the use of a checklist to keep track of defects: "The word "defect" has a negative connotation for some people who would like to keep track of the times we do things right rather than times we do things wrong. Fortunately, most of us do things right much more than we do things wrong, so it is easier in practice to count the defects. Moreover, we can get positive satisfaction from avoiding defects – witness accident prevention programs that count days without accidents." (Roberts, Sergesketter, 1993).

The personal quality checklist can be developed to improve professional activities. Each item on the checklist has a desired result, a way to measure each type of defect, and a time frame. Both work and personal defect categories can be listed (Refer to Figure 1). The defects observed during a certain period of time should than be plotted on a run chart (Refer to Figure 2).

Detect category	Mon.	Tues.	Wed.	Thu.	Fri.	Sat.	Sun.	Total
Late for meeting or appointment								
Searched for something misplaced or lost, over 20 min.								
Failure to respond to letter or phone call in 24 hours								
Failure to discard incoming junk by end of day								
Lack of clarity in setting requirements and deadlines								
Total								

Figure 1. An example of a personal checklist (to improve the office practice)
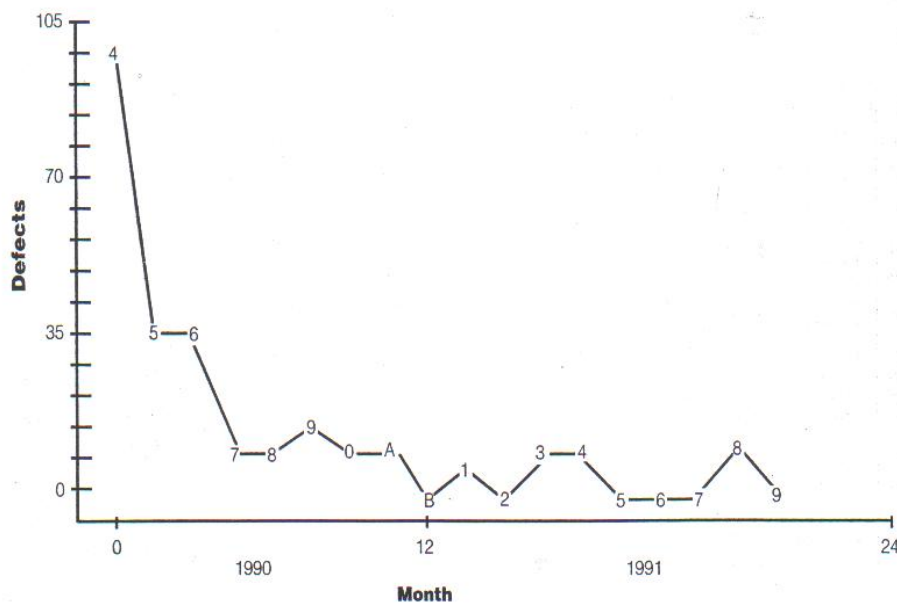
Figure 2. An example of a chart with the number of defects/month

In fact, the results could be surprising. For instance, in the case of Sergesketter, he was extremely surprised at the extent to which he was not returning phone calls on the same day. As another example, he discovered that he had no way to count defects related to correspondence. As a result, he started to date stamp correspondence when it arrived and date stamp the file copy of the response. None of the items he measured were in the "four-minute mile" category, and yet he started out at a rate of 100 defects per month, but dropped drastically simply because he was aware of them. Sergesketter also observed that when a person shares a defect list with others, they can help in reducing defects (Roberts, Sergesketter, 1993). Sergesketter noted, "I encourage and challenge you to start counting defects. It is impossible to reduce defects if we don't count them, and we can't reasonably ask our associates to count defects if we don't! I really believe that if several thousand of us here in the Central Region start counting defects, we will reduce them and differentiate ourselves from our competitors in a significant way."

Moreover, a personal checklist can help to manage time more efficiently, organize oneself personally and professionally, and keep total quality management concepts in the minds of employees who have trained for it. By listing six to ten areas to improve, either waste to be cut or value-added activities to be pursued, individuals encourage routine defect

reduction. A well-constructed checklist can also make users more efficient by their awareness of it (Petty, 2008).

According to Sergesketter, in Create a better life with quality tools, he believed that setting standards for personal or organization quality improvement was not difficult, but alone, it can not make a desired change. Sergesketter emphasized on the point that employees should find a way to measure against those standards, which is the only way to feel the change on the personal and professional level. He suggested a simplified form (Refer to figure 3) (Sergesketter, 2004).

Professional improvement	Month: July																															Total	Base line
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31		
On time for meetings							✓																✓									2	1
Phone: next day response												✓																				1	2
E-mail: within two day response																		✓	✓													2	6
Call client daily																																	
Relevant reading material																																	
Personal improvement	**Month: July**																															**Total**	**Base line**
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31		
Weight (190 pounds)				✓	✓						✓	✓				✓	✓	✓														7	10
Sugar intake			✓	✓						✓		✓				✓	✓															6	9
Exercise (three times a week)																																	
No unpleasantness						✓					✓							✓													✓	4	5
Resolution																																	2
✓ Missed opportunities																																	

Figure 3. An example of a professional and personal quality checklist

On the other hand, in the daily attempt to bring about change in the individual parts of the organizational universe, managers, employees, professors, and students can find that personal quality is the key to unlock the door to a wider understanding of what the concept is really about. Personal initiatives have a positive impact on business success. Quality focused individuals often exceed customer expectations. In fact, personal quality is an essential ingredient to make quality happen in the workplace, and quality begins with personal attitudes – attitudes can be changed through awareness and effort. (Evans, Lindsay, 2008).

Bob Barrios-Choplin, Ph.D., conducted a research were he examined the effect of an Inner Quality Management (IQM) training program on 54 employees in one division in a state agency which was experiencing change-related chaos. Measures of personal and organizational quality in the trained employees were compared to those of a 64-member comparison group that had not received the training. After the completion of the training, seven weeks from the initial assessment, the study group reported significant decreases in dimensions of negative affect and stress and significant increases in dimensions of positive affect in relation to the comparison group. The results of this study further validate self-management techniques as a cost- and time-effective means to enhance employees' psychological well being and capacity to adapt efficiently and harmoniously to the challenges inherent in organizational life. Training on the personal quality level that helps individuals revise their interpretive styles and manage their mental and emotional responses to stress can be of particular value in facilitating major change implementation processes in organizations. In addition, such interventions have the potential to produce long-term improvements in employee health, performance and productivity, affecting the overall quality at the workplace (Barrios-Choplin, article).

Need for the Study

From what was stated above, it is obvious that quality is personal, and according to many researchers, it is the basis and it facilitates Total Quality Management at the workplace. However, the researcher found there is a lack of exploratory research with respect to the

attitude of the administrative middle managers in Lebanon toward the importance and implications of personal quality and the use of personal checklists to facilitate TQM.

Research Questions

Do administrative middle managers in Lebanon have a positive attitude toward the importance and implications of personal quality?

Do they agree with the use of personal checklists to facilitate the implementation of TQM?

Research Methodology

For this purpose, a survey was conducted with administrative middle managers. A sample personal checklist was distributed with the questionnaire that was carried out using a 9-item feedback form. This survey helped to calculate some statistics concerning their attitude toward the importance and implications of personal quality in general and the use of personal checklists to facilitate TQM, in particular. The questionnaire was divided into three main sections: personal-related information, work-related information, and the remaining part consisted of some questions directly related to personal quality and its implications, to personal checklists and its usage, and some general questions related to work life quality.

Different questions format were used in the questionnaire. 'Yes' or 'No' as answers were considered in some of the questions to encourage the employee answering the questions and because it forms a more defined and precise opinion, which will help to divide opinions into two categories, opposite and adjuvant. Other questions were closed ended with multiple choices to narrow the answers to only few options. Moreover, some questions were open ended, to give a chance for the employees to give their opinions freely. Finally, some questions were cross questions intended to know the credibility of the answers.

This survey was conducted with only administrative middle managers. The questionnaires were distributed and filled by managers. They were chosen randomly from different companies, different geographical locations, and different industries.

Findings

This survey studied the attitude of the administrative middle managers in Lebanon toward the importance and implications of personal quality, in general, and the use of personal checklists to facilitate TQM, in particular. After analysing the outcomes of the questionnaire, it was obvious that the majority (65%) of the employees moderately agreed that the quality of their personal life and the quality of their work life are related; only 15% strongly agreed and 20% neither agreed nor disagreed (Refer to Figure 4)
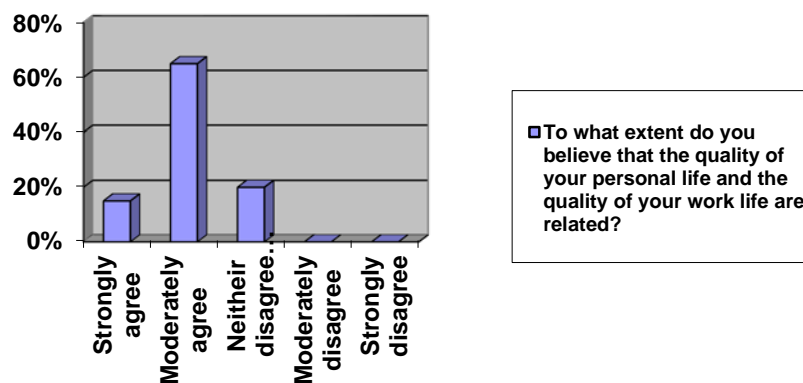
Figure 4. To what extent do you believe that the quality of your personal life and the quality of your work life are related?

Concerning the question (this was a cross question to test the credibility of the answers) whether they think personal quality is necessary to be able to conduct a quality work, 90% answered by a "Yes". Moreover, when the interviewees were asked the reason for their belief (in an open ended question), the answers were: "it reflects on work", "if I am not organized in my head, how can I organize work", "it is a lifestyle", and many others comments and opinions.

The next question was about their knowledge of the personal checklist tool, 70% have already heard about it, 20% never heard about it, and only 10% of the interviewees replied by "No answer". However, all of the ones who had a positive answer, they said that they never tried it before.

For the question "Are you willing to try the personal quality checklist?", the answers were 60% for "Yes", 30% for "No", and 10% "No answer" (Refer to figure 5).
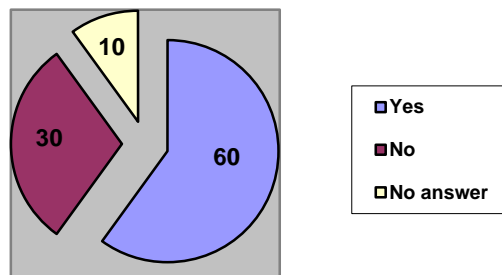
Figure 5. Are you willing to try the personal checklist?

Then the ones who were willing to try the personal checklist were asked the reason behind their answer, 95% of them believed that it is very beneficiary and 5% just wanted to try it by curiosity. On the other hand, 80% of the ones who had a negative reply, concerning their willingness to try it, believed that they don't have time to try it; only 10% believe that they don't think it is interesting, and 10% didn't reply.

The last question was about the belief of the interviewees that personal checklist can be used to facilitate TQM at work, 70% had a positive answer, 20% replied by a "No", and only 10% didn't have an answer for that question.

Discussion

From the above results, the researcher concluded that the attitude of the administrative middle managers in Lebanon towards the importance and implications of personal quality can be considered positive in general. The survey showed that managers believe that they can't do a quality work unless they have a certain degree of personal quality. Those interviewees, although none of them have tried the personal checklist before, admitted that the use of the personal checklist can facilitate TQM or can be considered a tool to apply TQM at the workplace.

What was surprising to the researcher, however, was that although it was very clear and obvious that the use of personal checklist is very beneficiary on TQM, not all interviewees are willing to try it or apply it. Their main reason behind this, according to them, was the lack of time – and since it is a personal effort, not requested by the management, they will not do the effort to find time for it.

In fact, personal quality is an essential ingredient to make quality happen in the workplace, yet most companies have neglected it for a long time. Management are not working on improving the personal quality of their employees – knowing that the personal quality checklist can be one tool. Perhaps management, in particular, operates under the idea that promoting quality is something that companies do to employees, rather than something they do with employees.

Research Limitations

Concerning the limitations for this study, the major one was the lack of time. The researcher wasn't able to give the personal checklist in advance and ask the mangers to try it for a certain period of time before filling in the questionnaire. Therefore, their opinion missed the practical part of the use of personal checklist. The other research limitation was that the questionnaire was administered only for administrative middle managers, and not a sample of all the levels.

On another hand, this research has an exploratory nature; however, some questions were included in the questionnaire with a descriptive nature, asking the opinion of the employees trying to have more specific details. This was done because, as mentioned earlier, there is no known exploratory study done in Lebanon related to this subject for the researcher to consider as a starting point for a descriptive research.

Suggestions for Future Research

As mentioned in the above section, and after conducting this exploratory research, a descriptive survey should be conducted, with interviewees from all managerial levels, to analyze and study in depth the personal quality topic and its importance and implications on the quality at the workplace, and the need for the use of the personal quality checklist as a basis for starting to apply TQM.

In addition, in order to understand deeply the importance and benefit of the use of the personal checklist, a very intensive study can be done in one particular industry, for example Higher Education. In fact, a "University Instructor Personal Checklist" can be developed and generated, with a group of instructors and the researcher, where they will identify their individual, personal, and professional areas for improvement and their targeted standards. It will be distributed at the beginning of the semester. The instructors fill it for a whole semester at the university or a particular specified period of time . At the end of ever week, results (the number of defects) for every instructor will be registered on a summary form, where the researcher can monitor the improvements done. At the end of the semester, or the specified period of time, the researcher can end up with a complete study showing the improvements done on work quality level, through the use of the personal checklist.

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PERCEPTION OF MSE's MANAGERS AS THE APPLICATION OF HUMAN RESOURCES TOOLS

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Abstract

People management is a major challenge to the MSEs of Teresina -PI due to the inability of management by some managers and their negligence before the adoption of management strategies that foster the development of its employees. In response to the reality which takes shape highlights the importance of the application of management tools that can assign value to the people who make up the company. This study was conducted in order to provide rational solutions to the following questions: what is the level of knowledge and application of micro and small entrepreneurs Teresina regarding people management tools? Notoriously has for objective measure knowledge of managers of MSEs Teresina-PI regarding people management tools and if they use these tools in their organizations. This is a survey with quantitative approach, characterized as exploratory and applied using as an instrument of data collection, a structured questionnaire consisting of seven statements based on Likert scale applied to 339 MSEs of Teresina. The results showed that managers are unaware and/or not applicable management tools and people often ignore elements deemed to be essential to manage these employees.

Keywords: Management tools. Human resources. Micro and small enterprises in Teresina

Introduction

Micro and small enterprises (MSEs) have great relevance in the Brazilian national economic scenario. This fact stems from the large number of people involved in these organizations, and its enormous significance before the totality of existing companies in the country. Given this importance, it can not fail to mention the difficulties to manage such organizations, since the scale of their problems transcends its size (Wedge and Soares, 2010).

The difficulties encountered in the management of MPE 's there , among other factors, due to the operationalization of planning, lack of financial assistance, but mainly because of the lack of managerial competence demonstrated by their managers (Ribeiro, 2011), a factor that leading to the extinction these organizations even during its first years of existence (Sales ; Barros ; Pereira , 2011).

In this complex and fraught with difficulties which scenario the MSE part is included managing people (Kuhn and Pereira, 2009). Even on the smallest number of employees compared to a large company (Maurer and Silva , 2012) , one realizes that managing people is also a challenge to the MSE, since they are responsible for more than half of formal employment granted to the population in stores private (Sebrae, 2012).

It is worth mentioning that the performance of an organization depends heavily on the contribution of individuals who compose it and the way they are administered. As a result,

companies should pursue a management model organizational strategies that align people's expectations fostering the development of their skills (Pirzada et al, 2013; Rodrigues; Werner, 2011; Nakata; Sousa, 2012).

However, the reality is contrasting, since the function of managing people in organizations is limited enforcement of bureaucratic activities that add little to the employees in terms of experience, these in turn are bound to perform repetitive and monotonous tasks with their performance overlooked because there are no mechanisms that assess consistently (Tanure; Evans; Cançado, 2010).

Starting from the above assumptions and taking as object of study of micro and small businesses in the city Teresina-PI, which may have a reflection of the national reality, there is a need to analyze the knowledge of managers MSE on managerial tools can assign value to the people who make up your company. The adoption of management tools , in turn , represent a competitive advantage amid the turgid market and a solution before the negligence shown by managers MSE on hold efforts to foster the development of its employees.

Thus, the present study of the following research problem: what is the level of knowledge and application of micro and small entrepreneurs Teresina regarding people management tools?

Notoriously this study aims to measure the knowledge of the managers of MSE's Teresina -PI regarding people management tools and if they use these tools in their organizations. Furthermore, we intend to expand the vision of managers on the benefits that the management tools can provide your company and employees who are part of it.

Theoretical framework
Management tools for Brazilian Micro and small enterprises
The federal law No. 123 of December 14, 2006 was responsible for standardizing the concept of micro and small enterprise classifying these according to their annual income. According to this law is considered micro enterprise, entrepreneurial company , the simple society, the individual limited liability company and the businessman , duly registered by the competent bodies, which earns an annual gross income equal to or less than R$ 360,000.00 . In turn, if the gross revenues for each year exceeding R$ 360,000.00, or less than R$ 3,600,000.00 this will be classified as a small business (Brazil, 2006).

Analyzing the numbers and statistics to MSE is emphasized that these represent 99 % of private nonfarm establishments in the country, overcoming the barrier of 6 million MSEs with a annual growth rate of 2.8 % per year. These are responsible for the creation of 7 million formal jobs. Regarding the business sector , trade presented with the highest number of establishments accounting for over half of total Brazilian MSE's, followed by the services sector with 2.1 million establishments and industry with 674 000 MSE (Sebrae, 2012).

If you continue at this rate of growth the Brazil reach by 2015 a number of 9 million MSEs in the context of 210 million which represents a company for every 24 inhabitants approaching the levels registered in European countries at the beginning of the century (Braga and Xavier, 2011).

As already mentioned, the MSEs are great difficulties for the conduct of its activities, however, none of these factors is as damaging to the continuity of these managerial failure as demonstrated by their managers (Borges et al., 2012).

A little training of their owners proves to be one of the factors responsible for the high mortality rate during its first years of existence. Most of these organizations are managed through the use of common sense or empirical knowledge demonstrating the failure of the scientific and technical principles in their management practices (Ribeiro, 2011).

The adoption and implementation of management tools to the administrative process of MSE prove to be an excellent way to change this scenario, since this measure, through the confluence of theory and practice would provide managers effective administrative

mechanisms, eliminating the management based on sense common, which would be crucial for the survival of organizations (Rodrigues, 2012).

According to Rodrigues and Vilas Boas (2013), management tools represent a practical theoretical framework useful to managers of MSEs contributes significantly to the maintenance, sustainability and growth of these organizations through the insertion of an innovative knowledge and responsible for checking greater solidity to manage them.

Human Resources Management Tools

People management is a specialized branch of management science whose main objective is the integration of the collaborative context of organization and a resulting increased productivity. In turn, people management involves recruitment, selection, training, development, maintenance and control of the people of an organization (Gil, 2001).

So that employees are managed in a strategic manner is needed beforehand, which people are recruited (Ofori, 2011). Recruitment is a technique that is intended to attract a number of people in order to be selected for a position, occupying a particular job in the organization, this technique is used to supply the organization of people (Silva and Silva, 2013). To Cunha and Cavalcanti (2012), in the recruitment process the organization must pursue a number higher than the number of vacancies which, in turn, allows selecting the most qualified candidate to perform the function candidates.

For the recruitment process to develop properly it is necessary that there be an internal survey to verify and analyze the real needs of the organization, this need refers to the amount of people to be selected and where they will be allocated (Dutra, 2002). Gil (2001) is worth noting that recruitment may be internal, crave when offering places only those individuals already owned, or external when referring to the human resources market for new people entering the organization.

Having been recruited, candidates are subjected to a personnel selection, this in turn is considered an excellent management tool that aims to get recruited among the candidates who have the appropriate profile position available, this requires that the picker has sufficient information on all candidates to make decisions rationally (Pereira, 2013).

In order to retain the best candidates, organizations tend to use a number of strategies in selection processes. Among them stands out, review of curricula with a view to ascertain the activities prior to the desired academic and training of candidates (Silva and Santos, 2010), the interview, which provides contact with the candidate, where his ability to communicate and persuasion is put to the test and some information mentioned in the curriculum are reaffirmed.

Another technique used, this in turn owned by the professionals of psychology, are the psychological tests. They provide information about cognitive functioning and personality of candidates (Prá, 2013). Another technique to be highlighted is the group dynamic, used in order to put candidates in situations where they must work as a team, where features such as, attitude, leadership skills, quick thinking, among others, are observed (Hallack and Carvalho, 2011).

For which the employee meets the expectations of the organization is important that this is properly integrated and socialized the same. Socialization is the process by which the employee is integrated into the context of the organization, taking notice of their culture, rules of conduct to be followed, procedures, values and expected behaviors (Castro et al., 2012).

The socialization process, in turn, proves to be essential for retaining talent in organizations as it clarifies the employee and should be laying this on your role, your superiors, your fellows and the organizational structure, demonstrating the strategies for their professional development and growth within the organization (Relvas, 2012).

It should be stressed that in an environment marked by competitiveness is necessary for organizations to provide conditions for their employees to develop through training and

development of their skills and for this we use a variety of training (Kuhn; Pereira, 2009). Training is a set methods used to convey to employees necessary for the proper performance of their duties skills, in turn, provides the conditions that allow people to be more effective to reach higher productivity (Dessler, 2003).

According to Silva and Tonelli (2013), for a training program to meet the goals for which it was created, to mention empowering people in an organization and foster their professional development, it must meet specific concerns known through the survey of real needs of employees and the organization.

Depending on that the people performing a particular activity within an organization are rewarded through remuneration, according to Reis Neto and Assis (2010) is the most usual way of rewarding task performed by the employee, in addition to representing what actually employees want to get to work in an organization. But only provide financial rewards to employees is not enough in present times, because besides the pay, it is necessary to provide other incentives and benefits that may motivate employees to achieve the organization's goals, so that the benefits offered Supram that gap with property (Micke and Caregnatto, 2012).

The benefits, designed here as indirect remuneration, represent advantages, conveniences, facilities and services that organizations offer their employees in order to retain them and motivate them serving as the basis for satisfaction of personal needs (Chiavenato, 2004). It is worth mentioning that there are benefits that are required by law while others are given spontaneously by the organization (Marras, 2000).

In turn, to measure and evaluate the performance of employees and the organization uses one of the most effective management tools, namely, the evaluation of performance. This tool seeks to identify measure, observe and develop the performance of individuals with the primary objective of assessing the work of the employees in the organization (Santos, 2010).

Performance evaluation proves to be of great importance to any organization, as it provides a systematic trial to support salary increases, promotions, transfers, and often employee layoffs. Through it can communicate to employees how they are developing their work and demonstrating the real need for changes in behavior and attitudes (Nascimento et al., 2010).

Also according to Born et al. (2010) any person needs to receive feedback about their performance to become aware of how it performs its activities. Without this feedback the developers have no dimension of their income. The organization needs to know how people perform their activities to get an idea of its potential. Thus, people and organizations need to know something about their performance (Taylor and Tyler, 2011).

Methodology

This study is part of a common deductive research method in research in the field of applied social sciences, where the factual outcome becomes known, it adopts the conception that the premises are all true (Marconi and Lakatos, 2004). In order to obtain concrete results in an empirical reality reported to quantitative approach, as this is adequate for studies aiming to emphasize large samples in order to bring to light data, indicators and trends observable via numerical results and statistical (Minayo and Sanches, 1993).

By adopting a quantitative approach as a guiding element of the research that is built here, some features are evident on this option. Objective reality regarding the ontology with epistemology that makes it clear to the researcher independence with its object of study without an axiology values and biases, formal rhetoric and methodology for static, context-free design driven by generalizations (Rodrigues, 2012) .

This study has applied nature, as it allows the researcher to practical application in order to ascertain empirical phenomena. Applied evidenced considerably in this study nature because here is intended to express relationships between variables of functional dependence to know the reality of the phenomena under investigation.

As to the objectives the study is evidenced as exploratory, since it deals over a field of research is still under construction, namely, to know how managers Teresina -PI assimilate, realize and embrace people management tools. The exploratory study is one that is intended to familiarize the researcher with the object of study and its reality so that through this research could emanate further insight can explain the above phenomenon more accurately (Piovesan and Temporini, 1995).

About the procedures, the following study was based on a literature grounded in scientific articles, theses and dissertations related to the topic discussed here, published in the last five years to ensure the timeliness of the information used. After step on developing procedures bibliographic field research guided by the use of a structured questionnaire was developed. Data were collected at a single time characterizing the study as a cross.

The population used in this study refers to the MSE's of Teresina -PI, which according to data from the Yearbook of Micro and Small Enterprise 2012 - the year with the most recent publication by December 2013 - total 20.485 enterprises (Sebrae, 2012). In turn, the sample, characterized as random and simple probabilistic, was drawn through a sample calculation with 95 % confidence level and sampling error of 5 % in the " n" calculated, in the others words, the number of companies be addressed in the study for statistical significance was 378 MSE's.

Thus, initially a pre - test with 39 firms in order to improve the instrument of data collection for unwanted items were excluded and those important but were not included in the initial idealization was developed. After this adjustment, the questionnaires were administered in over 339 companies, totaling a sample "n" necessary. Strategically, were removed from the analysis of the study, completed questionnaires that participated in the pre - test to ensure uniformity, universality and control of the instrument used.

Regarding procedures, survey research was developed. This is defined as the collection of data and information relating to a population by means of instruments to collect specific data. A survey is a quantitative research that is conducted with a representative sample of the population with a structured questionnaire (Rodrigues, 2012). This questionnaire was used as an instrument of data collection and consists of seven statements.

The statements are as follows : a) I usually gather my employees to give them ideas on how to improve my business and reduce the problems of the same b) My company uses modern methods of recruitment and selection of personnel, c) After contracting the employee receives information about the mission, goals and vision of the company, as well as guidance on working procedures and standards of conduct to be followed d) my company invests in training, e) the salaries offered by my company are consistent with the average salary offered by the market, f) My company offers benefits and develops a program of incentives ; g) My company periodically evaluates the performance of its employees.

The questionnaire was structured by Likert scale of five points to mention: strongly disagree, disagree in parts, neither agree nor disagree, disagree and strongly disagree in parts. Seven claims were directed to the managers of MSE's Teresina and through this scale is intended to know how they assimilate and apply people management tools.

The data obtained by applying the structured questionnaire were analyzed using SPSS (Statistical Package for Social Science) using descriptive statistics regarding obtaining answers about the knowledge of managers on people management tools and correlations (correlation Pearson) in order to know the influence of the characteristics of managers in the adoption and implementation of people management tools.

In the following section, the results of the study as well as their discussions, demonstrating through concrete statistical data of how micro and small entrepreneurs Teresina perceive and assimilate the tools of human resource management in their management practices were presented. Each question asked was exposed to micro and small entrepreneurs in order to accurately determine their knowledge about such management tools.

Results and Discussion

As mentioned in the previous section, to code the responses, we used a five-point Likert scale namely, strongly disagree, disagree in part, neither agree nor disagree, agree in parts, totally agree. This scale is guided by statements that collecting information useful avoiding simplistic and without concrete meanings which in turn allows more accurate conclusions about the questions proposed here answers.

The first inquiry made to managers related to the attitude of these to gather your employees to give them ideas on how to improve the business contribution to eliminating certain problems. We obtained the following results noted in the table below:

Table 1 - Incentive ideas and suggestions from staff in relation to business

OPTION	%	VOLUME
Disagree	39,4	132
Disagree parts	6,6	22
Neither agree nor disagree	8,4	28
I agree in parts	10,1	34
Totally agree	35,5	119
TOTAL	100	335

Source: Prepared by the author.

It can be seen by the results, the micro and small entrepreneurs in Teresina, mostly, do not bother to provide freedom to their employees so that they can express their opinions on the administrative practices adopted by the company. This negative attitude shown by managers contributes to the motivation of employees due to the barrier created by his superiors not feel valued by their performance which influences the way in which they engage their own powers and organization development (Penha ; Martins, Guedes, 2011).

Despite the reality which takes shape, the results indicate that there has been an effort of micro and small entrepreneurs from Teresina to hear your employees allowing them to share opinions and discuss ideas on how to improve the business, which can be evidenced by the percentage of optimistic entrepreneurs who agreed with the statement highlighted in the table above.

This attitude of managers prove beneficial to the organization, because through the ideas and conceptions of employees, potential problems can be eliminated and potentials can be exploited to generate positive results. In turn, this attitude is also a benefit to employees who come to feel part of the process of dedicating themselves to their duties strongest form, representing a greater capacity for empowerment (Gil, 2001).

The second question aimed at micro and small entrepreneurs refers to the adoption and application of modern methods of recruitment and selection of staff. The results were listed by the table below.

Table 2 - Use of modern and effective methods of recruitment and selection of staff

OPTION	%	VOLUME
Disagree	68	223
Disagree parts	3,7	12
Neither agree nor disagree	6,1	20
I agree in parts	6,7	22
Totally agree	15,5	51
TOTAL	100	328

Source: Prepared by the author.

The results are clear in showing that the largest share of micro and small entrepreneurs Teresina neglect the techniques of recruitment and selection of staff. It is noticed that the adoption and implementation of these tools has great adhesion by this specific class of entrepreneurs, since they make these management tools only as additional and unnecessary expenses (Rocha et al., 2011).

The very form in which they are established micro and small enterprises discourages the adoption and application of modern methods of recruitment and selection of staff. This type of organization has reduced its staff of employees and basically formed by family members or people close to the company manager, this peculiarity explains why these tools as having poor adherence in the context of these companies (Lescure et al., 2012). The micro and small business use empirical methods to meet people their organizations these mechanisms, in turn, appear to be unable to guarantee the effectiveness of a given employment (Rocha et al ., 2011).

Once inserted in the employee organization needs some information to allow it to inspect the procedures and standards of conduct to be followed (Castro et al., 2012). The aforementioned information makes the process of organizational socialization. This was this instrument in the room questioning directed at entrepreneurs, in which we sought to know if after hiring, the employee receives information about the mission, goals and vision of the company, as well as guidance on work procedures and work standards of conduct to be followed. The results appear in the table below.

Table 3 - Application of organizational socialization tools

OPTION	%	VOLUME
Disagree	50,6	168
Disagree parts	3,7	12
Neither agree nor disagree	4,8	16
I agree in parts	4,8	16
Totally agree	36,1	120
TOTAL	100	332

Source: Prepared by the author.

The results are clear in showing that micro and small entrepreneurs in Teresina, after hiring an employee, do not provide this information considered necessary so that it can actually socialize the organization of which it is part. Several studies dedicated to analyzing the importance of the socialization process for permanence and development of the newly admitted to a company official, these studies demonstrate that this process, if done well, the manager ensures a more committed employee with its assignments and with the overall goals of the company themselves, since this know exactly what activities it should perform and what to do to ascend in the organization hierarchically (Relvas, 2012).

It is noticed that many companies do not have some basic information about your business, the name, mission, vision and goals to be achieved either long or short term. The absence of such information, in turn, affect employees performing random tasks with no well-defined meaning or reason (Relvas, 2012).

Table 4 - Investment in training

OPTION	%	VOLUME
Disagree	66,8	219
Disagree parts	3,6	12
Neither agree nor disagree	6,1	20
I agree in parts	6,1	20
Totally agree	17,4	57
TOTAL	100	328

Source: Prepared by the author.

The results show that the majority of micro and small entrepreneurs Teresina not provide their employees an opportunity for them to qualify or aprimorem their knowledge through training programs. Thus, it can be seen that the MSE entrepreneurs have a great aversion to expend financial resources for the development of its employees. This is because such managers are unaware of the benefits that these actions can provide your company with regard to quality, efficiency and financial results (Kuhn and Pereira, 2009).

In this sense, it is perceived that managers to invest in any program always expect financial return when taking this as the primary goal and reason for investment and

concerning the management of human resources results obtained through training programs not are easily viewed by sometimes being abstract and are not directly associated with financial returns (Dessler, 2003).

The training programs are essential in the face of reality that is currently set. Characterized by extreme competition, complex administrative problems and changing environmental conditions, such a situation requires organizations intelligent and creative solutions that can mitigate or outweigh the difficulties present. There is no better alternative to this situation than qualify the general staff so that they, through their ideas and conceptions, may represent a differential giving greater strength to the management of companies (Silva and Tonelli, 2013).

The fifth question directed at managers of micro and small companies Teresina refers to the wages offered and their compatibility with the average salary offered by the local market. The results were different for the two extremes adopted in the study, namely, strongly disagree and strongly agree.

Table 5 - Compatibility between the salaries offered by the company and the market

OPTION	%	VOLUME
Disagree	44,7	148
Disagree parts	2,2	7
Neither agree nor disagree	3	10
I agree in parts	6,6	22
Totally agree	43,5	144
TOTAL	100	331

Source: Prepared by the author.

The large percentage related to micro and small entrepreneurs who admitted offering salaries below the average salary practiced by the local market is related to the body's own employees who comprise such organizations that, as mentioned earlier, are basically constituted by family and people close to the manager. Upon such finding is perceived that managers have the freedom to agree with these unusual payments that could not be performed for people with "unknown "which would require compensation standards adopted by the market (Oliveira; Pereira; Albuquerque, 2012). Otherwise, the salary paid to the wife, son, nephew, brother, uncle or similar, for it is often the smaller the market rate. However, despite representing a financial advantage, it can negatively affect the professionalism of the organization.

As a percentage of micro and small business owners who said they practice salary averages consistent with those adopted by the local market is perceived that this fact represents a current market trend where employees are more aware of their rights requiring companies to meet these needs relating to remuneration. This trend mentioned replaces a scenario where people accept absurd conditions imposed by employers due to the scarcity of jobs (Morini, 2012).

Beyond salaries offered to employees in exchange for their labor, they are graced with other benefits offered, whether prescribed by law or by the entrepreneur himself (Reis Neto and Assis, 2010). The sixth question concerns the activities of managers to grant benefits and an incentive program for its employees. The results are shown in the table below.

Table 6 - Use of a program of benefits and incentives

OPTION	%	VOLUME
Disagree	68,4	221
Disagree parts	5	16
Neither agree nor disagree	5	16
I agree in parts	5	16
Totally agree	16,7	54
TOTAL	100	323

Source: Prepared by the author.

The result shows that the majority of micro and small entrepreneurs Teresina not adopt or simply unaware of the benefits and incentives that may be granted to employees of your company programs. One of the great evidences that can be proven by the results is the lack of managers towards these and other key management mechanisms. Negative results can also be associated with the aforementioned aversion of managers expend financial resources for the development of its employees.

Thus, the benefits granted by companies, here taken as additional payments upon efficiency in the execution of certain functions, undoubtedly contribute to employees engaged, strive and they focus more vehemently about their daily tasks benefiting the performance of the organization as a whole, as an efficient and committed to the goals of the company employee influences the other components of the environment to act in a similar way, leading the organization to positive results (Micke and Caregnatto, 2012).

The last question directed to managers of micro and small enterprise Teresina relevant to the management of human resources tools refers to the attitude of the manager to adopt mechanisms to review performance regularly. The percentage refers to the responses of entrepreneurs set out in the table below.

Table 7 - Use of periodic performance evaluation mechanisms.

OPTION	%	VOLUME
Disagree	55,3	182
Disagree parts	2,7	9
Neither agree nor disagree	5,5	18
I agree in parts	6,1	20
Totally agree	30,4	100
TOTAL	100	329

Source: Prepared by the author.

Although a considerable amount of business has responded that evaluate the performance of their employees regularly, most are unaware or ignore this management tool which is an excellent way to know how employees are performing their duties.

In the context of micro and small enterprises, the process of performance evaluation is conducted in an informal manner, in the other words, the manager by adopting methods of empirical measures and evaluates the performance of its employees without any guarantee of validity or ownership of the inquiries raised which in turn can be distorted by subjectivity manager. Therefore, in the case of this particular type of organization, performance evaluation used as a formal process and applied through a structured form may allow determining accurately the performance of employees is usually nonexistent.

However, the highest percentage of micro and small business owners said they did not adopt or ignore any mechanism for evaluating performance, be it formal or informal. This reality is disturbing because this process is critical to the company, with information, be able to promote wage increases, promotions, transfers, and often employee layoffs. So, it appears that there is no such information, managers manage the performance of their employees without any regulatory criteria (Nascimento et al., 2010).

Correlations

When analyzing the results obtained by the correlations made none of these proved to be significant, though, showed a factor worthy of being highlighted preponderance to mention, the turnover variable.

It was found that the turnover variable is significant correlation in relation to the following factors: attitude of managers to use modern methods of recruitment and selection of personnel; adoption of the socialization process by managers; tendency of managers to provide their employees opportunity to qualify through training programs, adoption and use of performance evaluation and compatibility of salaries paid with the average adopted by the local market.

The first correlation highlighted here shows a moderate positive correlation between the revenues earned by the company and attitude of managers to use modern methods of recruitment and selection of staff (p = 0, 437), in others words, the more a company gets more satisfactory financial returns managers relate to methods of recruitment and selection to insert, in the context of their organizations, suitable persons to occupy certain specific functions.

Subsequently, highlights the relationship between earned income by the company and the adoption of the socialization process for managers of MSE's in Teresina (p = 0,521) demonstrating that the higher the annual revenues generated by firms more managers take a major provide basic and necessary to newly admitted employee information so that it can adapt to the organizational environment which is part.

Still , in relation to a separate variable, it was found that the higher are financial returns earned annually by MSE , over these , in the figure of its managers , provide employees the opportunity to develop their skills and knowledge through training programs which is reflected in a moderate positive correlation (p = 0,405) .

The turnover variable was correlated with the attitude of managers to periodically evaluate their employees. The results enabled us to assert that there is a moderate positive correlation between these two variables (p = 0,487) demonstrated that the more positive are the financial results determined annually by MSE more managers realize the need to understand and measure the performance of its employees in the exercise of its activities .

Finally, it was found that the larger the earnings accrued annually by most businesses these lining shaped consistent with the average salary offered to its employees wages. This finding was derived from the established correlation between turnover and compatibility of salaries paid with the salary market average, which was shown to have a moderate positive correlation (p = 0,563).

Conclusion

The results obtained from the study point to the disturbing reality of human resource management in micro and small enterprises in Teresina, since managers are unaware and / or do not apply many basic and necessary for the efficient management aspects of their employees and often ignore elements deemed to be essential. Such evidence may have as a consequence desmotivation and dissatisfaction of employees to their managers.

By analyzing the results yet it appears that the managers of MSE's Teresina, endowed with empirical knowledge, consider themselves connoisseurs of strategies and management tools, providing its employees the freedom so that they can express their views on the management of the company. Such conceptions could be harnessed in order to reduce any potential problems and explore.

Regarding technical recruitment and selection of personnel it was found that these have little bearing on the part of managers of MSEs Teresina , which is evident due to the very structure of the personnel of these organizations which is basically composed of relatives and acquaintances the manager , which makes the design of these mechanisms such essentials.

The study identified that, once placed in the context of the company, the employee is faced with the lack of information regarding the working procedures and standards of conduct to be followed, since managers do not bother to provide such information which undermines the socialization process of the employee with the environment to which it belongs.

It is noticed that many companies addressed by the study did not have information such as mission, vision and goals are short or long term which in practice affects employees to a blind obedience meaningless activity or logical reason.

As regards the attitude of managers to provide their employees the opportunity to develop their skills and knowledge through training programs, it was found that managers show great aversion to expenditure of funds for the development of its employees such

aversion can be explained by ignorance about the real benefits that these programs provide the organization in terms of efficiency, quality and financial results.

In the same direction, the survey results were clear in showing that the wages offered by the managers of MSE's , mostly , are below the average salary practiced by the local market , although the results have shown there is an effort of a number of these managers maintain the remuneration offered equivalent to that adopted by the market .

The results for the performance evaluation process were negative towards demonstrating the non-adoption of this tool by most managers of MSE's Teresina demonstrating the total disregard of the administrative requirements for using this technique that, in turn, allows the organization to evaluate and measure the performance of their employees in order to acquire the decisions soundness.

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ARAB COUNTRIES AND THE DOHA ROUND: BETWEEN CONTRADICTIONS AND BALANCES

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Abstract

Since 2001, the World Trade Organization (WTO) has launched the Doha Round that aims to speed up the liberalization of trade policies while ensuring for developing countries, in particular the least developed among them, a share in the growth of world trade that corresponds to the needs of their economic development. However, like many developing countries, the Arab countries have ambiguous relationships with the multilateral negotiations process, ambiguity that characterizes more generally their position within the WTO. The Doha Round has shown the Arab countries' adherence to the virtues of free trade and their desire of deeper integration in the multilateral trading system. At the same time, the impact of the Arab countries on the conduct of the negotiation process remains low and reflects, ultimately, their marginalization in the WTO system. This contribution endeavors to analyze the key issues of the Doha Round for Arab countries and the reasons of this ambiguity.

Keywords: WTO, Doha Round, Arab countries, Developing countries, Globalization

Introduction

The last major reorganization of the multilateral trading system took place in 1995 with the conclusion of the Uruguay Round, which lasted more than eight years and which resulted in the establishment of the World Trade Organization (hereinafter WTO).

At the Fourth Ministerial Conference held in 2001 in Doha (Qatar), the WTO members launched a new round of multilateral negotiations called "the Doha Development Round", with the goals of reducing trade barriers and considering more accurately specific needs of developing countries.

Given its ambitious goals, it is not a coincidence that the Doha Round includes more than 21 issues for negotiation, even if agriculture and market access for non-agricultural products issues are concentrating most offensive and defensive interests of the major actors in the negotiations, with the exception perhaps of services.

These negotiations, whether the ministerial conferences in Cancun (2003), or Hong Kong (2005) or Geneva (2009 and 2011), have however resulted in resounding failures. Even the "Bali package", resulting from the last ministerial conference held in December 2013 in Bali, did not lead to major progress on the sensitive issues mentioned above, advocating only a package of measures to boost trade of the least developed countries and to ensure better food security for developing countries. This shows how the conclusion of the Doha Round remains a daunting task. Indeed, multilateral negotiations have clearly highlighted the growing gap among the WTO Members, not only between emerging and other developing countries but more broadly a North-South division, which questions the basic assumptions of the WTO foundations, namely the theory of comparative advantages and the automatic link between trade and development.

This fracture involves *de facto* the Arab world. The latter corresponds to 22 countries characterized by a circumscribed geographical area ranging from the Islamic Republic of Mauritania in the west to Oman in the east, as well as by a common Arabic language and

Islamic culture resulting from the historical expansion of Islam. All these countries belong to the category of developing countries, with a special mention for six of them which are part of the list of least developed countries (hereinafter LDCs) as defined by the United Nations. Among the Arab countries, twelve are already WTO members and eight others have observer status and are in the process of accession to this organization.

This brief presentation hides, nonetheless, another reality. Analyzed from a political and economic perspective, the Arab world is far from being unitary and homogeneous. While the "Arab Spring" carries as much hope as uncertainty, the Arab countries remain outside the mutations and reforms that benefit many areas around the world. Until today, the trade obstacles and conflicts that cross this region are not allowing it to benefit from the advantages of natural and geographical endowments, close to Europe and at a pivotal position between Europe, Africa and Asia. This part of the world did not yet experience the political and economic dynamics seen in other emerging areas (particularly in Latin America, East Asia and Central and Eastern Europe). Although the Arab countries have a total population of around 360 million, which constitutes about 6% of the world population, their share in the world trade is *de minimis*. To this painful reality, one may add the heterogeneity of levels of development and economic structure among the Arab countries. As a result, a classification is required. At the risk of oversimplifying, three categories of countries emerge: those whose economies are mainly based on oil and hydrocarbons exports, and belonging to the category of high-income countries; middle-income countries whose economies are mainly based on traditional sectors (agriculture and manufacturing) with an increasing share of services; and low-income countries with underdeveloped economies based essentially on agriculture. The following developments must be imperatively analyzed in the light of this diversity.

Obviously, the Doha round challenges the Arab States. It reveals both their fragility in the multilateral trading system (hereinafter MTS) and the contradictions of their handling the liberalization of international trade: contradiction between Arab societies crossed by a strong anti-globalization movement and the adherence of the Arab leaders to the virtues of liberalism and the proclamation of its compatibility with Islam; contradiction between the acceptation by these Arab leaders of Doha objectives and their low participation in the negotiations process; contradiction between the low efficiency of the support and technical assistance offered by the WTO and the desire to promote better integration of developing countries in general and Arab countries in particular in the MTS; contradiction between the desire regularly displayed to grant a privileged place to these countries within the WTO bodies and the concrete absence of representation within the institution; contradiction between the large number of Arab countries that are full or potential members of the WTO and their low share in world trade.

And the list is still long about the challenges faced by Arab countries in the current MTS. But these arguments are sufficient, we believe, to demonstrate the malfunctioning of the MTS within the Doha Round with respect to developing countries in general, and with respect to the sustainable development of Arab countries in particular.

The purpose of this study is therefore to understand precisely the reasons of these contradictions and the issues surrounding the Doha Round for Arab states. Two ideas will in this respect constitute the backdrop of the following arguments. First, it appears that the Arab countries share the belief that the outcome of the Doha Round negotiations is crucial for a sustainable development and their integration into the globalized economy (1). Second, and in an antagonistic and contradictory movement, the Doha Round has highlighted the low impact of the Arab countries on the progress of multilateral negotiations, a weakness that generally characterizes the position of many developing countries in these negotiations and their distrust in the functioning of the WTO and its values (2). These arguments will be followed by a brief conclusion.

The major impact of the Doha round on Arab states

The willingness of Arab countries to conclude the Doha Round negotiations reflects both their adherence to the virtues of free trade within the multilateral framework of the WTO and their desire to promote national policies for sustainable development (a), as well as their fear of dangers that would result from a failure of the multilateral negotiations (b).

The adherence of Arab states to the virtues of free-trade

To benefit from the expected advantages of the liberalization of international trade, most Arab states have swiftly expressed the desire to join the WTO. Consequently, these countries did not hesitate to undertake deep economic reforms focused on three main components: privatizations in certain sectors such as telecommunications; a policy of open borders with a trade liberalization component; and the improvement of the legal business environment as reflected by sometimes total amendments of internal legislative corpus in order to comply with WTO requirements. These reforms have at times looked like a revolution since Arab economies were traditionally marked by a strong state footprint and numerous barriers to trade and investment.

Clearly, Arab leaders continue to proclaim the virtues of free trade and thus join the supporters of economic liberalization, who advocate the benefits of the opening of borders and gradual elimination of tariff and non-tariff trade barriers. Liberals maintain that free trade would be a factor for peace and interdependence between states, and an absolute postulate to allow economic and social progress. As such, free trade is supposed to benefit both businesses and consumers, and also ultimately the concerned States. Concretely, the optimum efficiency of trade liberalization requires an appropriate multilateral framework based on specific mechanisms: transparency, non-discrimination that encompasses the WTO principles of most favored nation and national treatment, and fairness as expressed in the special and differential treatment granted to developing countries.

The above-mentioned principles and the institutional framework in which they are applied are as relevant today as they were after the Second World War and especially at the time of the creation of the WTO in 1995. But their effectiveness depends on the inclusion of new global economic realities: new types of trade barriers, changing needs of Members, in particular the developing countries, etc. The Doha Round is therefore aimed at enhancing openness and rebalance trade to stimulate the global economy.

For Arab countries, the ideological approach in the Doha process is based on two interrelated ideas: first, the need to strengthen the dynamics of multilateral liberalization and, secondly, the reorientation of the MTS towards their particular sustainable development goals and requirements.

In the context of increased liberalization of trade, these countries are also seeking to redefine their foreign trade policies. The purpose is to diversify their trading partners and reduce dependence of Arab economies vis-à-vis the United States, European and Chinese markets, reflecting trade deficits and an imbalance of rights and obligations related to bilateral approaches with much more powerful partners. One of the major characteristics of trade in Arab countries is that trade with the EU covers between 40 and 60% of total trade, while the inter-Arab trade is limited to about 10%. Exchanges that Arab countries administer through the WTO do not exceed 30 % of the total. While oil exporting Arab countries recorded a surplus in their trade balance, most Arab states are exporters of industrial and agricultural products and suffer a chronic trade deficit. One may better understand, therefore, why the idea of inseparability of free trade and multilateralism has widespread defenders in the Arab countries.

The risks of failure in the Doha Round

In the most likely event where the Doha Development Round is not completed or is completed with a minimum agreement that does not address the key issues of the negotiations, the magnitude of lost opportunities would be significant and the multilateral trading system may be subjected to systemic pressures. Developing countries would then be among the main losers. Among the negative consequences for these countries, four of them deserve special attention: the return to protectionism, the judicialization of the WTO, the proliferation of "variable geometry" commitments, and the spread of unilateralism in trade. Let us examine these four elements:

The first risk is thus protectionism. To justify the current deadlock, some Members emphasize the need to protect "domestic jobs" or "domestic industries" against international competition which is considered unfair. The risk is so great to see the resurgence of protectionist drifts especially when Members use ingenious means to ensure sufficient flexibility through unilateral, bilateral or regional restrictive trade agreements. Such policies are erroneous and dangerous for several reasons; beyond the harm done to their own consumers in terms of price and innovation consequences, a significant part of national employment depends on access to export markets and that without trade, such jobs could be lost. This analysis affects both developed and developing countries. For Arab countries, hundreds of thousands of jobs would be directly or indirectly affected. Furthermore, can one imagine a country protecting its domestic market without other countries doing the same thing? In other words, the domino effect would be devastating. For example, if an Arab country decides to close its borders to foreign agricultural products, how to avoid that counterparts take retaliatory measures against banks and companies that operate in the country concerned? This is why isolationism, even "intelligent" isolationism as some argue, is a recipe for global recession. It is therefore imperative to resist the temptation of protectionism and to strive to conclude the Doha Round by a fair and equitable agreement.

The second risk of failure in the Doha Round is the judicialization of international trade relations. The dispute settlement mechanism is the main institutional reform established by the WTO. The majority of observers legitimately consider today that the technical review of the Dispute Settlement Body (hereinafter DSB) is positive. During the period 1995-2012, nearly 900 requests for consultations, a mandatory first step of the procedure for settlement of disputes before the establishment of a panel in charge of reviewing a complaint, were filed before the DSB, among which about 50 % were terminated in a peaceful settlement after preliminary consultations. It is now unquestionable that the DSB has acquired credibility thanks to the reliability of its procedures and the effectiveness of its judgments.

Despite the credit acquired, the DSB intends, however, to remain the instrument of implementation of international norms and standards adopted by the Members in the multilateral negotiations. It is therefore a judicial extension of the "quasi-legislative" activity of the WTO. This institution is primarily a political forum with the purpose to govern, peacefully, tensions that arise between states involved in international trade. If the Doha negotiations were bogged down, an alternative would be for dominant States to alter the first mission of the DSB and to increasingly use litigation ways to settle their trade disputes. As a result, such a development can feed the temptation of Members to get rid of the system by denouncing a "government of judges."

The third danger of a Doha Round failure would be the trivialization of the multilateral approach to negotiations and commitments within the WTO. With the constraints of the "rule of consensus", a mitigated multilateral approach would be particularly suitable since the WTO agreements already provide for several elements of "variable geometry". In addition, such a path already exists informally in the works organized within the negotiating committees. The plurilateral approach would thus favor the experimentation of new concessions which would not be adopted by a WTO general and binding agreement because of the multiplicity and

heterogeneity of Members. It would broaden the subject matters in negotiation by making it easier to conclude a final agreement. At the same time, it would allow countries that have not participated in the initial negotiations to join them at a late date, at their own pace and according to their commercial interests and development priorities.

Nevertheless, the systematic use of commitments based on limited participation implies the risk of fragmentation and complexity of the MTS. Moreover, general benefits are far from being guaranteed since the establishment of two or more categories of WTO Members in any form whatsoever does not necessarily increase the reach of WTO nor deepen the commitments undertaken by Members in terms of liberalization.

To illustrate, the analysis of WTO agreements on government procurement and trade in civil aircrafts since their entry into force, respectively on January 1996 and January 1980, demonstrate the absence of developing countries and the low number of countries that joined the Member States originally bound by these agreements. The situation of Arab countries clearly confirms this reality.

A fourth danger that would result from a failure of the multilateral negotiations would be the spread of unilateralism in trade relations. Preferential trade agreements (hereinafter PTAs) proliferated in recent years and a failure of the multilateral negotiations would bring more states to fall back on this alternative. Until December 31, 2012, nearly 414 PTAs have been notified to the WTO, 235 of which are currently in force. Among these agreements, free trade agreements and partial scope agreements account for over 90 % and the customs union less than 10%. Most PTAs are bilateral, which creates a set of increasingly complex trade regulations and, in addition, undermines the principle of non–discrimination. Their defenders consider, however, that they may be the basis for future multilateral trade rules. Whatever the position adopted, there is no doubt that the WTO is increasingly challenged by the regional or bilateral rules.

Should the conclusion of the Doha Round prove to be impossible and multilateralism give way to regionalism and bilateralism, the global trading system would fall on two formidable obstacles: first, the opacity caused by the superposition of international trade agreements and their specifics, and second, the increased risk of trade discrimination and trade oligopoly of the strongest nations since, in such settings, developed countries can require an opening of foreign markets without risking access of foreign products and services from weakly competitive countries into their domestic markets. Also, and since trade liberalization through bilateral free trade agreements often goes well beyond what is provided within the multilateral framework of the WTO, and without consideration of special and differential treatment for weaker economies, the benefits of trade will be largely in favor of the more developed nations. In brief, the PTAs would actually be a disguised unilateralism.

For Arab countries, the incessant need for a credible alternative to regionalization or bi-lateralization of trade relations also results from the failed regional integration over the last several decades. There are currently two main legal frameworks within which intra-Arab trade operates: bilateral agreements and the three following regional agreements; the Common Market of the Gulf; the Agadir Agreement; and the Greater Arab Free Trade Area (hereinafter GAFTA). Beyond the features of each of them, these three agreements have the following common economic objectives:

Boosting trade between the Signatories (which remains very low − less than 10% of the total trade of Arab countries) by emphasizing the complementarity of their economies (e.g., Tunisia, Morocco and Egypt could export textiles and agricultural products to the Gulf countries, Algeria or Libya) and fighting counterfeit products that causes damages to local production and distorts the balance of payments.

Creating conditions to attract more foreign direct investments

Strengthening the negotiation skills of the Member countries to deal with powerful trading blocs such as the USA or the EU or in international frameworks such as the WTO.

Despite these ambitious objectives, the implementation of the above-mentioned agreements had rather negative results, quasi-similar to that of bilateral free trade agreements signed by the Arab states. Commitments to liberalize trade and make more transparent the internal regulations have no practical effect. To delay the enactment of their commitments, the Signatories claim that full implementation would mean the death of multiple economic sectors, especially the agricultural and food sectors, given the domestic price support policy adopted by some Signatories.

In fact, the reasons of this situation are numerous and varied. For one, these agreements were signed without serious preparatory steps or consultation of citizens and businesses so that inconsistencies have emerged over time. In contrast to the agreements signed with the United States or the EU, the private sector has not been involved in the preparation of the WTO negotiations. Consequently, it is not surprising that companies regularly denounce the maintenance of many export barriers including rules of origin which are interpreted differently in each country, as well as administrative and normative non-tariff barriers.

Furthermore, some Arab countries, on the basis of the pressure exerted by their farmers and industry, seek to establish a list of sensitive products (wheat, flour, sugar ...) that should be excluded from the scope of a multilateral agreement. Beyond these technical aspects, barriers to the development of regional economic cooperation also result from the priority given to political considerations over economic policies, and the weakness of regional institutions as reflected by the absence of dissuasive sanctions against a violation of the commitments and the adoption of the principle of unanimity, which makes it practically impossible to reach a common decision between Arab leaders, whose disunions remain outstanding beyond the repeated speeches on a virtual Arab unity.

The low impact of Arab countries on the Doha round

While Arab leaders repeat their support for the Doha negotiations process, it is clear, however, that their impact on the progress of these negotiations remains negligible. The reasons of this situation come less from a lack of political will than from the shortcomings of the WTO and difficulties of integration of developing countries in the MTS. Some observers regularly highlight the undemocratic and unequitable features of the multilateral negotiations (a), the ineffectiveness of programs of building trade capacity for developing countries (b) and, more broadly, questioning the founding theories of the MTS as governed by the WTO rules (c).

The shortcomings of the multilateral negotiation process

Developing countries require a greater role in the determination of both the content and the conduct of the multilateral negotiations. As for many developing countries, the Doha Round has shown the marginalization of Arab countries and their inability to claim their demands.

The WTO is a permanent and institutionalized negotiations forum between Member States. Negotiations taking place under its auspices must be conducted on the basis of reciprocity or non-reciprocity with regard to developing countries, as well as the equal treatment of participants, while the negotiated concessions are legally binding and have a minimal degree of stability in the time before they can be optionally modified. In practice, the implementation of the common principles governing the negotiations, however, favored the inertia of the Arab countries and made more difficult an ambitious consensus.

The situation of Arab countries is seriously complicated by their outright exclusion from the negotiations. These countries feel marginalized while these negotiations are in principle open to all WTO Members and Observers governments that are negotiating their accession or in progress of accession, which concerns about twenty Arab states.

Despite a massive membership of South's countries in the WTO and a formally democratic structure, the negotiation process remains in fact controlled by the industrialized countries. These countries have even shown that they are willing to negotiate outside the WTO, in order to circumvent the principle of decision by consensus. With the support of some emerging countries, the industrialized countries seek to "force the destiny" by negotiating in the "green rooms", that are small circles bringing together a reduced number of major economic nations. Highlighting the impossibility of making decisions at a consensus of 159 countries, the main economic actors hold the decision-making power. Some developing countries do not wish to change this state of affairs: it is the case of major developing countries such as India, Brazil, Argentina and other emerging countries. But one should keep in mind that these countries are part of the small circle of privileged nations that composes the green rooms.

In the context described above, it is not surprising to notice repeated failures of the trade negotiations organized under the auspices of a WTO that is not fully democratic and does not comply with the Doha ministerial declaration. For many developing countries, they cannot negotiate within the WTO as they negotiated under the GATT. Under the former system, the negotiation was between rich countries and the results were ratified by all parties, without prior discussion. This process was perhaps acceptable when the Contracting Parties could choose their commitments, but that can no longer be tolerated in the WTO system that is burdensome for poor countries due to the "single undertaking" principle. In consequence, these countries do not hesitate to wield their veto, and, at the same time, to integrate states coalitions within the WTO.

Arab states are aware of this reality and are eager to avoid isolation, which can mean loss of control over the negotiations. They tried, in 2006, to form their own coalition. But conflicts and political rivalries have impeded the success of this project. Meanwhile, these states are dispatched in several coalitions of states in which they do not have an active role nor a sufficient knowledge of the subject-matter in negotiation. It is thus striking that no communication has been made to date by an Arab country on behalf of a coalition.

To conclude on this point, it should be noted that the strengthening of Arab countries' impact in current and future WTO negotiations is therefore a crucial issue; a significant development in this case will require both a more harmonized approach between Arab countries and an institutional framework, instead of the informal committees of negotiation called "green rooms" in which a limited number of developed and emerging countries address key trade issues.

The inefficiency of the trade capacity building programs

While previous developments have highlighted the shortcomings of the negotiation process within the WTO, the low impact of the Arab countries on the work of the Negotiating Committees is also due to their lack of expertise in the field of international trade and the weak role played by the Arab delegations in the WTO bodies. This situation recalls the recurring questions about the effectiveness of the instruments established by the WTO regarding technical cooperation and training that did not fully respond to the needs of Arab countries in this field. An analysis of these different issues is required.

First, regarding the lack of expertise of Arab States, several indications highlight their poor knowledge of WTO rules. The first indication is the lack of use of multilateral trade defense rules. For memory, these rules are used in case of difficulties due to trade liberalization. They ensure the defense of the legitimate commercial interests of WTO

Members when they are victims of unfair practices or are forced to adopt emergency measures in the event of market disruption. Only three countries, namely Egypt, Jordan and Morocco, have already opened investigations at the request of their domestic industries for the application of safeguard measures by other governments. No Arab country has, to date, imposed a safeguard measure on imported products. In the same course, Egypt is the only Arab country to have initiated and imposed anti-dumping measures.

The application of trade defense rules is obviously essential for the competitiveness of Arab economies. In this regard, the annual reports of the WTO show that if 63 WTO members have participated in the dispute settlement procedure during the period 1995-2012, no Arab country has initiated proceedings before a panel as a complainant. Only Egypt was involved four times as defendant. This country and also Saudi Arabia are also the only ones involved in the WTO dispute settlement procedures as third parties, thereby recalling the considerable interest that Arab countries may have in the context of WTO litigations.

How is it possible to justify this inertia of the Arab countries?

The absence of Arab countries in the dispute settlement system (hereinafter DSS) may indicate that these countries chose to settle their disputes by peaceful means. But it is difficult to justify that no "request for consultations" has been filed by an Arab country in 2012! The reasons clearly are elsewhere. A number of experts justify this situation by the high cost of litigations initiated under the DSS which is an obstacle for many Arab countries, but also by the fear of reprisals and adverse consequences on the financial assistance provided by developed and emerging countries. It is striking nonetheless that some countries like Guatemala, Bangladesh, Pakistan or Colombia adopt a more offensive position in the DSS. The lack of participation in the dispute settlement procedures of the WTO may also be attributed to the low contribution of Arab countries in world trade. Here again, this argument should be moderated since it is sufficient to recall the low share held by some active countries such as Argentina (0.6% of world trade) or India (1.5% of world trade), as well as the other countries mentioned above.

In any event, the reasons given above cannot overlook the fact that the infrequent use of the DSS by Arab states is, first, the result of their lack of expertise and knowledge of WTO rules and that this situation is exacerbated by the increasing complexity of commercial disputes. Bringing an action before a WTO panel is a long process that requires the preparation of legal and business data which cannot be provided by the other Member or the WTO Secretariat. A State Member must find other sources of relevant information by using legal experts and economists who can provide consultations and econometric studies supported by substantial documentation. However, Arab countries have a severe lack of experts in these areas. Is it necessary to recall that, notwithstanding the provisions of Article 17.3 of the Dispute Settlement Understanding (hereinafter DSU) by which the Appellate Body shall be broadly representative of WTO Members, only two Arab experts have integrated this entity since 1995!

This situation may be explained by the delay of Arab governments and universities to incorporate into their training programs issues related to international trade. But it is impossible not to question the effectiveness of the "progressive learning strategy" and the "reference centers" that constitute the two vertebral columns of the trade-related technical assistance program for developing countries. Managed by the WTO Secretariat, and more particularly by the Institute for Training and Technical Cooperation (hereinafter ITTC), this program focuses on e-learning courses and academic programs and workshops organized at both national and regional levels. The immediate objective of these activities is to enable participants to understand the fundamental principles of the WTO in relation to the matters dealt with. For specific questions in connection with the Doha Round, the goal is to give

participants the factual and analytical information required to participate meaningfully in the negotiations.

Even if the training tools have been continuously improved since the creation of the WTO, their added value for the Arab States remains however limited. The latest annual report issued by the WTO is eloquent. During 2012, the WTO has undertaken 343 technical assistance activities related to trade capacity building and most of which were for officials from developing countries and LDCs. But the analysis by region shows that only 5% of those activities concerned Arab states, ranking this region almost at the last position with the Caribbean area which received 3% of the technical assistance activities.

There is no doubt that the small number of technical cooperation and training activities does not increase the level of expertise in the Arab countries in the field of international trade, nor target the needs of these countries in the implementation of the WTO Agreements and the Doha Round negotiations. The dramatic situation of Arab countries requires more than a few weeks of training or seminars on specific issues of international economic law. It requires more regular training and monitoring mechanisms for Arab officials selected on skills and stability criteria, as well as more intense awareness policies for businesses, parliamentarians and decision-makers in these countries.

Low expertise of Arab countries in the field of international trade also has a negative impact on their representation within the WTO bodies and in the process of multilateral negotiations. Coordinator of the WTO activities, the Secretariat has 639 regular staff selected from 77 WTO Members. Among the staff, there are only 18 experts coming from four Arab countries, which constitutes less than 3% of the total staff.

In addition to the lack of representation in the WTO Secretariat, Arab countries do not have powerful and effective delegations that are able to negotiate. Limited human and financial resources constitute a major obstacle to the full participation of Arab countries in the WTO works. On the ground, the diplomatic representatives of Arab countries are limited to one or a handful of officials. In addition, their delegations not only cover the WTO works, but participate in the works of other international organizations also based in Geneva, such as the United Nations and its specialized agencies (UNCTAD, WIPO, etc.). With its staff of ten members and a participation in all ministerial and other meetings held in Geneva, Egypt is an exception among Arab countries in this case.

In brief, while the Doha Ministerial Declaration emphasizes that "technical cooperation and capacity building are core elements of the development dimension of the multilateral trading system" (parag.38), multilateral negotiations have highlighted the marginalization of Arab countries in the functioning of the WTO. The challenge for these countries in the context of current and future negotiations is to train more national experts in international trade issues and to set up teams of skilled and polyvalent negotiators likely to actively participate in workshops and influence the outcome of negotiations. Success however will also depend on the redefinition of the WTO technical cooperation strategy and a clarification of the Secretariat mandate in this area.

The questioning of the WTO ideological foundations

Whatever the outcome of the Doha Round negotiations, the debate on the legitimacy of the WTO as a body regulator of world trade is recurrent in Arab countries. Since the early 2000s, a strong anti-globalization movement is running within Arab societies and affecting a growing number of stakeholders. This has been recently compounded by political instability related to the "Arab Spring" and a resurgence of religious conservatism.

These parameters reinforce the skepticism of Arab countries and partly explain their reluctance to participate actively in negotiations. To justify their positions, opponents to multilateralism point out that current tensions and deadlocks described above are justified by systemic and structural reasons that would require a renegotiation of the WTO Agreements

and a rebalancing of rights and obligations imposed on Arab states. With a closer look, some points of disagreement between WTO Members reflect, indeed, a real questioning of the founding theories of the global economic order established since 1945, and *a fortiori* of the WTO.

In effect, the Doha Round is occurring in a period of questioning of the theory of comparative advantages which is the cornerstone of the MTS. The principle of specialization is regularly advanced to convince the economically backward states to open their borders. However, the weak economic and industrial development of many Arab countries generates a low added value of the so-called "advantages" possessed by these countries. Like many developing countries, their market position is deteriorated because they export products at low prices, while they cannot do without numerous and costly imports. Their integration into the global economy is therefore reflected by a loss. Trade is largely in favor of industrialized countries, although some countries such as China or India contradict this reality.

Parallel to criticisms against the principle of specialization, the absence of automatic links between trade and development is more and more pointed out. Such a statement may seem surprising. According a World Bank study (Global Economic Prospect, 2004), the conclusion of a "good deal" at the WTO would have increased global income from 290 to 520 billion dollars annually and 144 million people would have come out of the state of poverty by 2015. The OECD went towards the same direction and emphasized that the dynamics of multilateral liberalization may lead to welfare gains, particularly in developing countries.

The argumentations still provided by these international organizations are not enough to convince WTO members to agree. The successive failures of ministerial conferences have revealed the particular crisis of confidence of the South in the MTS. This crisis of confidence is regularly fed by the questioning of the benefits of trade openness and the correlation between trade openness and growth rate of a country. The result, as highlighted by a report issued by the Commission on Human Rights of the UN, is that for certain groups WTO is seen as a "nightmare" (UN, J. Oloka-Onyango and D. Udagama, La mondialisation et ses effets sur la pleine jouissance des droits de l'homme, 2000).

Naturally, it is impossible in this contribution to take a conclusive position in this debate. One may only indicate that the logic underlying many multilateral agreements such as the Agreement on agriculture and the TRIPS Agreement are indicative of the North's attitude, which is far from the generosity displayed. Similarly, trade liberalization offers opportunities only under specific conditions that are far from being met in the Arab world: reciprocal liberalization, building capacities in terms of infrastructure and administration, an educated and skilled population, political and macroeconomic stability, etc.

To better benefit from trade, Arab leaders must also assimilate the fact that trade policy may serve their needs of development when implemented in cooperation with the private sector and civil society. Beyond the official speeches, this requires a profound change in mindsets to end the priority given to political considerations in the conclusion of trade agreements while the opacity surrounding their socio-economic impact remains. The Doha Round thus constitutes an opportunity to increase transparency through greater involvement of private actors and national parliaments in determining objectives and benefits of trade concessions.

Conclusion

In conclusion, the above discussion suggests three main observations:

Firstly, the Doha Round is a major turning point in the integration of developing countries, and particularly the Arab countries, in the MTS. Multilateralism is currently viewed as the most suitable approach to support development policies in these countries, to fight against the abuses or excesses of bilateral trade agreements and to mitigate failures of regional integration.

      Secondly, the Doha Round has highlighted the marginalization of Arab countries in the negotiation process and, more generally, in the MTS. This is due to a lack of competitiveness of their economies and serious technical problems of access to international markets, but also to the shortcomings of WTO, which does not fully meet their needs of integration.

      Thirdly, Arab countries should better identify their goals in the negotiations and develop more active participation strategies in the MTS. In this respect, a crucial element is Arab unity: Their alliance of 2006 must be revitalized in order to provide a platform for articulating their interests and to be viewed as a strategic partner by powerful delegations in WTO negotiations.

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POWER OF MICROCREDIT TO REMOVE THE GLOBAL POVERTY

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Abstract

The total world population is 7.093 billion of them 1.29 billion do live with absolute poverty [PPP below $1.25]. Around 4 million of people die cause of starving and malnutrition and 25 million without treatment/year. 100 million is homeless and further 100 million is hidden homeless. Around 200 million is unemployed, of them 75 million that is 13% of the total figure is between the ages of 15 & 24 [IMF-2012]. If dramatic changes are not happened in the world job markets and young jobless is remain stable, its impact would be very devastative for the forthcoming world.

Keywords: Microcredit, Global poverty

Introduction

For global peace & affluence in today's world stricken with hunger, homelessness, diseases & woe, tremendous poverty has to be removed to ensure the fundamental rights which include the rights of food, cloth, shelter, education and treatment. International aid, which is joke to the impoverished, has deepened the problems rather than alleviate a bit. To pave the way for first and foremost task is either to create direct employment or create condition to create employments. Micro-credit banking, which on one hand creates direct employment and on the other hand patronizes borrowers to create small scale production lines or enterprises to create employments and increase the source & levels of income, is one of the most remarkable options to alleviate the poverty.

The project is about the creation of microcredit bank & invention ways to create direct employment and create condition to create employments to alleviate the poverty and promote the standard of living in Bangladesh.

«Money, says the proverb, makes money. When you have got a little, it is often easy to get more. The great difficulty is to get that little» -Adam Smith

«Low income individuals are capable to lifting themselves out of poverty, if given access to financial service»-Dr. Muhammad Yunus

The concepts are the stimulator to apply micro-credit banking as poverty alleviation tool.

Goal

Represent poverty free Bangladesh to the world in 25 years transforming selves-dependable villages throughout the country and represent the model as global poverty alleviation tool.

Mission

Create direct employment and create condition to create employments patronizing micro-credit borrowers to create micro scale production lines or enterprises.

Hypothesis

If implemented successfully it will be extended to other regions to remove the poverty and promote the standard of living.

Poverty, its impact on socio-economic lives & alleviation tool

Poverty, a complex society issue, is a condition when people are not able to meet their fundamental needs including food, cloth, shelter, education and treatment properly in proper way.

It is a global issue and cause of socio-economic depression. Poverty not only pushes the improvised to poor living conditions but also slashes the access to basic needs including hygienic foods, pure drinking water, proper sanitation , health care & education. The letter undermines and limits their capabilities and their opportunities to secure employments aftermath prolonging and confinement of the poverty circle.

Together with poor living standard of impoverished, poverty is being cause of various misfortunes which are prevailing in the society, such as crimes, illiteracy, unemployment and diseases like depression, anxiety and stress therefrom not only the poor rather hole society is suffering.

So poverty is a call to action---for the poor & the wealthy alike---a call to change the world so that many more may have enough to eat, sufficient shelter, access to education and health care, prevention from violence and uncertainty and a voice in what happen in community.

Microcredit banking is one of the most potential options to bring the desirable changes. Scientific and apt implementation of it could bring the potential breakthrough.

Microcredit

Microcredit is a financial innovation that refers to various kinds of small loans & financial services meant for the impoverished borrowers who are currently operating businesses or aspiring to introduce businesses or simply unemployed to introduce businesses or financial activities to improve their living standard. The borrowers of micro credit usually lack of collateral, steady employment & variable credit history, thus fail to qualify for regular bank loan. It's designed not only to support employment and combat against poverty but in some cases to empower women & uplift entire communities by extension.

The main purpose of microcredit is to break the cycle of «no income, no investment, no profit» to «small income, small investment, and small profit» by increasing capital from outside into the economic life of poor people.

Underprivileged people may have potentially profitable business ideas but the ideas might not be put into action due to lack of start-up finance. Microcredit loans give clients just enough capital to put their ideas off in the ground.

Over the above concepts microcredit evolved first in 18th century and got momentum only after the establishment of 'Grameen Bank' in Bangladesh by Prof. Muhammd Yunus in 1976. As of 2013 microcredit activities are being manipulated in about 50 countries around the world including USA, India, China, Bangladesh and many other African nations and have brought many changes.

Existent Microcredit Banking and Common Scenarios

In developing and list developed countries like Bangladesh where women are neglected due to their dependability on male partners, microfinance provides them with beneficial banking they need to start up business ventures and actively participate in economy. It gives them confidence, improve status and make them more active in decision- making, greater accession to financial resources, greater social network and greater freedom of mobility thus encourage gender equality.

One of the largest roles that microfinance has in local economies is providing credit to low-income and poor families to startup financial activities with the means to becoming financially stable that helps breaking the cycle of poverty in the current generation and work toward ending global poverty for the future generation. A study conducted by Zohir & Martin in 2004 suggested that clients who join and stay in microcredit program have better economic condition than non-clients, suggesting that programs contribute to these improvements. Households who are involved in program are able to send more children to school for longer period and to make greater investments in their children's education [Litterfield and Hoshemi, 2003].

By reducing vulnerability and increasing earning & savings, micro-financial services allow poor households to make the transformation from «everyday-survival» to «planning for the future».

But the impact of microcredit on poverty alleviation is highly a debatable issue. Since its introduction, microcredit has not had very positive impact rather has led many borrowers into debt trap or in some cases leading suicide or selling organ [Milford, 2010 & Kathrin, 2012].

A study conveyed by Wastover & Khandaker noticed that among six representatives, five found no evidence that microfinance reduced poverty though they found other positive impacts, e.g acceleration of individuals business, children's education etc; Study selected from sample of more than 100 studies as being methodically sound [Wastover & Khandker, 2008].

An another study conducted by Chowdhury & Hussain (2011), showed that microcredit programs in Bangladesh between 2000 and 2010 that was when only 7% of micro-borrowers were able to rise about poverty line [Chowdhury & Hussain 2011].

Kathrina Hartman, the German Journalist told about trapping in debt of a woman whom she met in 2012 at Kurigram district in Bangladesh. The rural women who were the borrower of microcredit told her about the brutal methods of enforcing debt repayment, including the forced to sale of cattle, house utensils and lands. In order to be able to repay loan, newly indebt men and women even sold their kidneys, as discovered by the police in summer 2011. In order to repay the loans children are dropped out of school to earn money and food expenditures are cut down significantly.

Professor Mohammad Moniruzzaman from the department of Anthropology at Michigan State University has been researching the organ trade in Bangladesh since 1990 stated that such a selling organ to make repayment and they felt no choice but to sell a body part.

Mohammad Mehedi hasan 24, from Molagari village in Bangladesh sold his lever at $9690 to repay the loan which was taken from a microfinance institution in 2005.

Why Micro-credit doesn't work?

It is a fact that microcredit borrowers, who don't have necessary requirements to receive loan from the formal banks, are marginal and disadvantages inhabitants of the society. They don't know how to receive loan, how to invest the capital effectively for well return on investment, how to produce units, how to marketing.

Suppose, if you somewhere meet a man who is blind and deaf and direct him to go to a certain destination where he will get proper maintenances, he will never reach the destination rather will lose the former shelter if you don't convey him to.

Like the blind and deaf microcredit borrowers will be dropped into debt trap or driven into loan cycle if the borrowers are not apt patronized by the lender from credit receiving to profit making.

Non-effective investment

As microcredit borrowers are marginal and lack of business and professional experiences, they don't know how and which sector the capital should be invested in for well return on investment. Most often, the borrowed money are invested either in list profitable or non-profitable sectors fail to earn a well return to repay the loans' capital. The credits are very often used to buy durable products or consumer goods instead of productive investment [Milford, 2010 & Kathrin, 2012].

Credit giving strategy, High interest rate & Repayment structure:

Loan giving strategies of existence microcredit institutions are not effective to fight against poverty. Micro-credit banks in Bangladesh form a group of five potential borrowers and train them how to receive and repay loan instead of how to go to the production or invest the credit effectively for well return on investment.

Loan giving strategy of first modern micro-credit institute 'Grameen Bank'

Moreover, high interest rate & repayment structure that limit its effectiveness. Global average interest rate of microcredit bank is 37%. In Bangladesh loans are repaid by 52 installments in a year and first installment is started in fifteen days of receiving loan then every week. If borrowers don't manage to earn at list 37% rate of return, eventually ended up poorer as a result of accepting loans.

How Micro-credit will succeed?

To reach the poverty alleviation goal, Microcredit policies are needed to be implemented and managed effectively & services are needed to be designed to meet the need of clients. Thereby not just only the clients but also their family and the wider community will be benefited.

When loans are associated with an increase in assets, when borrowers are encouraged to invest in low risk income generation activities and when very poor are encouraged to save; the vulnerability of the poor people is reduced & improved the poverty condition [Hulen & Mosley, 1995].

If microcredit seeks to improve the condition of poor by creating proper environment and right opportunities, poverty will be alleviated and living standard will be promoted.

So, together with credit providing, proper patronization of borrowers by the lender in the sectors including effective investment, producing units, marketing the portfolios could bring the desirable changes.

If microcredit activities encourage and patronize borrowers to resolve easy accessible regional raw materials into commercially valuable products, it will be doubly effective. On one hand commercial production industry will be established with huge economic potentiality and on the other hand regional raw material industry will be accomplished commercially & more effectively to bring massive development for local, national and world economy.

Proposed Project

Creation of microcredit bank & invent strategies to create direct employment and create condition to create employments through patronizing microcredit borrowers to create small scale production lines or enterprises by microcredit banking, microcredit loan and other relevant entrepreneurial activities.

Target is to encourage and patronize borrowers to introduce regional raw materials based production industries. Moreover, other potential sectors where there are rooms available to develop will also be promoted, e.g., poultry farming, fisheries, milk processing, packaging & marketing etc.

We'll select the borrowers on the basis of financial vulnerability and skills first and train them to be skill producers or entrepreneurs. They will also be given very basic knowledge about management & marketing. Then they will be given loan to introduce small scale production lines or enterprises.

For sustainable development of a nation, education standard needed to be promoted to create talented human capital, the nation will discover its own ways to develop. For this prospect we'll establish preparatory and primary schools with up to date curriculum, computer labs, internet access and libraries.

Application

The project will be manipulated by the name " MPFW (Mission for Poverty Free World) Microcredit Bank" with the slogan "Poverty Free World for Global Peace"

Instead of manipulating the project's activities over the entire country all together, we'll divide the country into several regions according to the geographic location. Every region will be divided into many small branches and developed the branches one after another gradually.

A branch will be selected and activities will be manipulated for numbers of years till annihilating the poverty, transforming the branch into self-dependable and improving the quality of living.

Aim is to produce commercially valuable products by easy accessible regional raw materials. So, we'll remark the regional raw materials of the region where we'll initiate the project's activities and invent the most effective ways to produce commercially valuable products.

Other potential sectors where there are rooms available to develop such as poultry farming, fisheries, dairy milk processing, packaging & marketing etc. will also be initiated.

We'll select the borrowers & train them to be skilled producers or entrepreneurs. Well equip training centers will be established within the branches on the basis of production which we'll produce.

Loan will be given to the borrowers to introduce small scale production lines or enterprises when they will be sufficient skilled to go to the production and manage effectively. We'll patronize them to marketing their products.

We'll open & operate selling centers throughout the country by the brand name "MPFW Bank's Green Product" with the slogan "Be Green to Save the Globe".
We'll buy the products from the producers (borrowers) and sell them in project's run selling centers. The products will also be offered to other retailers who are offering the same products we are producing and offering. The producers are also free to marketing their products.

Loan giving structure
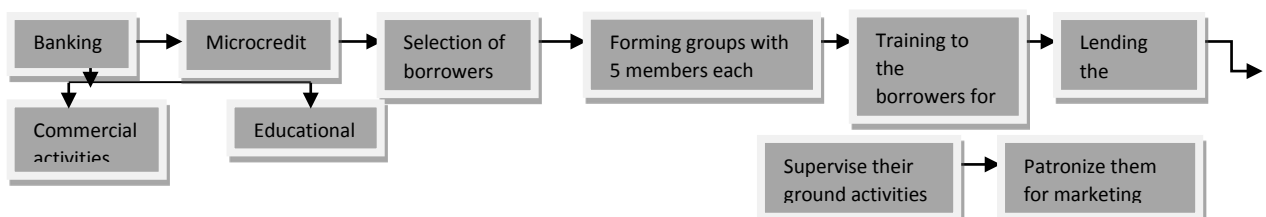
Pay back

Loan will be paid back with 10% annual interest rate. Repayment will be started after a month of their receiving loan as they will start receiving revenue from their portfolios at that time. Total loan of a borrower will be paid back with 12 installments during a year. Borrowers also can open saving account to the bank and deposit for the rainy day.

Implementation

The project will be implemented in Bangladesh. The total population of Bangladesh is 180 million. Off them 50% is between the ages 14 & 30 and 55% is unemployed. 40% of the total population lives below the baseline of poverty [$1.25/day, World Bank, est. 2012] of them 25% lives with extreme poverty [$1/day, World Bank, est. 2012]

Poverty, epidemic, famine and hardship of life are the common phenomenon in Bangladesh though there are huge potentialities and lots of rooms to promote for economic sustainability and social stability through promoting handicraft, SMEs and various forms of micro-industrial, small scale commercial & entrepreneurial activities. Through microcredit banking, microcredit loan & effective entrepreneurial activities, the project will pick all of the potential sectors up into account to develop.

Instead of initiate the project's activities over the entire contrary all together; we'll divide the country into four regions (South-West, North-West, South-East & North-East) according to the geographic location and initiate the ground activities in the South-West region first. We'll divide the region (South-West) into 2500 small branches and pick a branch up and manipulate the activities till annihilating poverty and promoting the standard of living, then the rest of branches gradually.

We'll remark the regional raw materials of the reasons and take initiative to invent the most effective ways to produce commercially valuable products by the regional raw materials.

If jute and bamboos are available and cheap in the selected branch like most of the areas of Bangladesh, we'll produce shoes, vanity bags, and shopping bags by jute and jute's garments thereafter and souvenir, toys and household products by bamboos. If the area is surrounded by grasses, we'll introduce dairy firming and small scale dairy products industries. If the area is surrounded by water, we'll go to fisheries and poultry farming. If the area possesses no physical resources but clay, we'll produce attractive souvenirs, ornaments and households things by clay.

This is important to mention that jute was the main export item of Bangladesh where there were 537 jute mills with about 2 million of employees in 1990 since then 433 jute mills have been closed & millions of employees have lost their jobs as we could not diversify the jute product. The successful implementation of the project would revive the very glorious financial sector of Bangladesh.

Women, almost half of the total workforces of Bangladesh but 85% of them are unemployed. Keeping a vast population unemployed, sustainable development of a nation can't be expected. So target is to empower the women involving them in financial activities.

Ground Activities

The ground activities of the project will be initiated on 1st of March 2014 from the village Jaduboyra, a branch in South-West region of the project's planned geographic location.

Target is to transform the village Jaduboyra as a poverty free self-dependable village by 2015

Jaduboyra is a village of 4sq. Kilometers & 6124 inhabitants. Among them 500 students, 20 government employees, 50 in NGOs & other sectors, 800 farmers and vast majority of 1660 are completely unemployed. The total workforces are 2530 of them 98% are marginal farmers.

Like most of the rural inhabitants of Bangladesh dwellers of the village Joduboyra cultivate their lands yield crops and live on it round the year. But agriculture in Bangladesh completely depends on natural climate. If weather is hostile, for example, drought, heavy rainfall or flood, either crops are destroyed or cultivation of land is not commenced in time, hardship of living is started.

Every year 'Monga', a seasonal food crisis, snatch numbers of lives during the months December-January that is when farms are not cultivated and people don't have work at hands or other alternative to survive.

Like most of the areas of Bangladesh, arable lands of the area are very fertile for jute. Every year farmers cultivate jute but they don't get sufficient market value of it. So, they are either to satisfy with low profit or count losses.

Besides, huge livestock including lactescent are also physical asset of the area. Inhabitants use the milk of their cows either for household purposes or sell it in the villages' markets at very cheap price.

As the village Jaduboyra, the first targeted branch, is thrived with jute like most of the areas of Bangladesh, primarily, we'll produce summer & winter shoes, shopping bags and vanity bags by jute and research to produce more innovative products to keep up pace with global demand through project's R&D center.

Moreover, we'll launch other entrepreneurial activities including poultry farming, fisheries and milk processing, packaging and marketing for rapid and sustainable development.

We'll establish necessary numbers of preparatory and primary schools with up-to-date curriculum. Educational institutions would be accomplished with computer labs, internet access and libraries.

Common physical assets of village Jaduboyra
Jute and bamboos
Huge lifestocks including lactescent
Arable lands
Young energetic people

In next couple of years (from 2014- 2015) the village Jaduboyra, the first targeted branch, will be changed for poverty free self-dependable village and standard of living. By the time five preparatory schools and a high school, five fisheries and five poultry firms will come under full operation. 500 direct jobs will be created through schools, fisheries, poultry farming and milk processing, packaging & marketing activities. Further 500 small scale production lines, which will create employments for another 1200 employees, will be created through loan programs. 1700 families will come out from tremendous poverty. In next couple of years poverty will be removed and massive changes will be brought in socio-economic lives in the village then activities of the project will be extended to other branches with the same massage and mission.

Consequences

Poverty free Bangladesh in 25 years and selves-dependable villages

Minimization of unemployment problems, increased the sources and level of income and standard of living

Talented next generation through up to date education programs

Empower the women and gender equity through involving them in financial activities

Regional raw material based green product; innovative & cheap

Diversification of economy, financial sustainability & social stability

Conclusion

Microcredit banking is one of the most useful components to alleviate the world poverty. But it doesn't work it-self. Effective strategies and proper implementation are indispensible to bring the desirable consequences.

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MONEY SLAVERY

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Abstract

Money basically performs auxiliary role in promoting good development and the manufacture and selling of goods and services. Thus, money should not be substituted for goods. Money is a means used for the measurement of capital. On the other hand, capital is the real resources that producers use in order to make the goods that we all consume: things like factories, machine tools, trucks, and roads. Money on the other hand is non-specific; it can be used to buy anything that is available in the marketplace, including capital goods. This is what leads to the common practice of referring to money as capital. When money becomes goods, too much money will be in circulation, and when this occurs, the overflow of the money often results to global economic crisis and to economic explosion.

The Cult of money creates in the society, special status superiority on money-racial criterion and this violates the right to Liberty and equality.

Keywords: Money, narcotic, servitude, kindness, evil, consciousness, capitalism

Introduction

The analysis of the development of the Human Society for many centuries and even a millennium has shown that the life of people in a society is dependent on the availability of various social amenities such as shelter, food, electricity, pipe borne water etc. Therefore, in order to achieve its objectives, the masses can either use a SUBJECTIVE or an OBJECTIVE tone in agitating for their rights in the society. These tones can result to a positive response of effectively promoting the development of a Society (community) to the full, not admitting the occurrence of the internal contradictions during the developmental process; or a negative feedback of bringing about an imperceptible distortion, which would be observed as a negative picture in the next centuries.

One of such subjective distortions has appeared as the distortion for the application of money. However, with the development of materially-financial sphere, the role of money is slowly been transformed from an auxiliary role in promoting the exchange of commodity, to a dictatorial role which begins to negatively influence the development of the consciousness of man, and deforming his spiritual qualities.

The role of money should not be exaggerated, but should be limited only to its auxiliary role. Hence, the detailed disclosing of this question is stated in this article.

Main Text

The economy is made for Man, and not man for the economy. The economy was created by man and consequently should be controlled by man himself.

Objectively, man should operate his economy and thus, remove any negative subjective (too human) aspiration in the economy. Thus, this should include his goal to avoid contradictions and then to permit them with the help of wars and violence against such negative subject (not of freedom).

The traces of " economy curve" can be seen when the gold together with the role of money (i.e. role of money in the exchange of goods and services) began to substitute spiritual

and human qualities, thereby resulting to the introduction of the trade of humanity with the purpose of reception of subjective benefits and to transform the people into slaves tribes.

Consequently, it is very important not to mix the concept of capital and money

Therefore, capital basically is the sum of ware-material value, but money is a means for the MEASUREMENT of capital.

However, as can be seen, money limits the freedom of people. Money creates inequality among people and can even make someone a slave for other people.

For instance, someone who has more money is regarded to be of a high social status in the society irrespective of his racial attribute or the colour of his skin, but on the "amount of money he/she possesses ".

Those with more money have more rights in the society than those without money.

If a man does not have money, he cannot enforce out his rights to the full in a society.

For example, the right to education is often limited to its cost, right to life (basic amenities of life such as food, water, shelter, clothes etc.) are limited by the cost of acquiring them. Also, the right to work is limited by a man's lack of educational qualification, which arises due to lack of sponsorship in acquiring qualitative education.

Furthermore, it is necessary to understand, that the development of the human society for a long time has left the era at which the rate of POVERTY is increasing and people barely have to struggle for their existence.

Thus, the modern technical progress has ensured quite a high level of PROSPERITY for the life of all members of the society and thus, satisfy the right to surplus and even luxury for those who the work is allocated to (especially intellectual) by the leaders in promoting the development of the society.

This therefore signifies the decisive growth of wealth in the 21st century created not only by "businessmen genius", but also created with the conditions for the development of science and education by all people in the society.

Therefore, in 21st century, the riches and fruits of scientifically technical progress have created efforts for all mankind, which include those who were born at this time.

However, money often seems to be in control over man and began to impose its authority over Man (including and above the maximum owners of financial capitals).

Economic life of a Society began to operate original Money-cracy.

The authority of Money became extreme and has passed allowable borders mind reasonable.

Therefore (as it also does not sound incredibly), a time is coming where money will be kept in its rightful place. The role of money should be only an auxiliary role of promoting the exchange and manufacture of the best commodity. Thus money should not turn to the goods-wares.

Money exceeds the role of the intermediary also imposes themselves as the wares-goods.

For the scheme "the wares goods - money - the wares goods" occur variant
"Money - money - money",

The economy built not on an absolute priority of the real wares, but alongside with "money as the wares", deforms its reality and creates "soap bubbles", which periodically burst as a global financial crises that is painful to the society.

Money is the basis of a social organization in the capitalist society as there is a strong discordance between what individual wants to do for the society and what society needs from individual. For example, most people wants to be artist, politician, business men and these people want to eat, buy houses, car, dress. People are trying to spend their time in what is the most interesting for them.

Also it turns out, that the ESSENCE of capitalism has some variants, one of which corresponds to the essence of the objective, capable of ensuring benefit "for all"; while others correspond to a different degree of the curvature which is brought about by subjectivity "for election" in the objective "for all".

The capital can successfully serve as an individual or as a common development, but subjectively, it has appeared to be the most attractive for the realization of egoism action.

It is not appropriate to identify capitalism with extortion, with insolent, and with the achievement of profit - benefit at any cost.

However, wrong "economic" practices such as fraud, larceny and deceit are not necessary for capitalism.

Money has become a means used for the estimation of the activity of men. Money is used more than a means of creating superiority in a society, in its original sense. However, during the first estimation of someone, instead of giving him recognition based on his characteristics as a man i.e. his Consciousness, Spiritual World and intelligence, he is recognized based on the amount of money he has.

Money has got certain quality which is similar to racial attribute. In a free society, it is necessary to overthrow this cult of superiority by money-racial criterion. However, the rights and freedom of the citizens in the society should not be restrained.

Also, many other variants of influence of money on person should come to light, among which, it is necessary especially to note the growing role of money as a NARCOTIC.

Man generally employs money in all areas of life - very much for a long time and under the diversified vital circumstances.

Besides, money has the ability to give AUTHORITY, DICTATORSHIP without the application or the use of physical violence. In addition, money creates a disguised form of slavery through the accumulation of debt.

Therefore, considering the questions below: -

1. Does mankind itself overcome and recover the arisen authority of money?

2. Does mankind uses force or coercion to put money and gold in "their appropriate place", i.e. to use them only for auxiliary purposes in promoting the development and the manufacture of goods and services?

Present the above questions to the supporters of the wild market, and you will receive numerous complaints of displeasure and "impacts by legs".

However, respecting the opponents, the author of these lines should state that mankind is capable of recovering the arisen authority for money and that similar example in a history of mankind is similar example - with what???

The author means RACISM.

Recollecting from history, racism which is an actions, practices or beliefs, or social or political systems that consider different races to be ranked as inherently superior or inferior to each other, based on presumed shared inheritable traits, abilities, or qualities a history, during which in many countries was distributed racism was considered to be normal.

In many countries, especially in USA, the racial attitudes were natural. Far years back, racism in USA and in some countries in Europe has worked in the consciousness of their supporters. However, for the last 50 years, the United States as well as other European countries where racism is a natural phenomenon has learnt to accept each other differences irrespective of their colour.

The victory over racism took several efforts, but was successful only when the ideology "against racism" was supported by all the layers of the society. Thus, when almost all the entire population of USA has understood the importance of putting a stop to racism, only then it will be objectively stopped.

However, if the people in the society were able to win the war against racism and discrimination based on the colour of their skin, then it is of no doubt, that the society will

also be able to stop racism which emerges based on the amount of money an individual possesses.

What are the driving forces in acquiring "mad money"?

What are the personal misfortune that befalls the rich, which forces them to look down on others?

What are the factors threatening the life of the rich in the society?

The wealth of the rich gives them complete happiness and their riches provide complete satisfaction for their vital needs and that of their families. Therefore, this shows that there is still a mad want for money by the rich.

The driving force is an extreme passion for wealth and material gain. However, it is also known as avarice. Such driving force are mechanisms such as "games on stock market", financial receptions and pyramids that allows one to make fast money, financial operations in transforming money into goods, gambling and reselling. Therefore, the world will be a happier place when the people in the society are not avarice and the government is not despotic i.e. governs with an iron fist, caring little for the welfare of the people. To remove this difficulty (Of which it will be impossible), it is necessary to remove approval and admiration for those who are greedy and despotic.

The strong aspiration to be wealthy and greediness is an illness which is actually difficult to be stopped. Thus, avarice increases when money or wealth increases. Based on its anti-human quality, MONEY becomes the most powerful NARCOTIC which affects the consciousness of people.

Consequently, reviewing the negative role of money in the development of a Society, it is very necessary to touch the subject of social inequality arising in a society.

Therefore, the objective of social inequality bears in itself positive qualities, as it encourages people to aspire and to make a difference in their respective fields. They aspire to become like other idol who have made a remarkable impact in various study areas such as sciences, management, manufacturing, engineering, culture and art, or sports; thereby fostering the developmental process of the society.

The social inequality between people emerges naturally from the right to freedom of choice by each member of a society. However, while some in the society chooses to be a worker or a handicraftsman, others choose to be a businessman. Also, while one chooses an active way of life, unfortunately, others choose to be passive. For instance, in a country whose population is 7 billion, everyone decides on what they wish to do with their life and thus, this free choice has resulted to social inequality in the society.

Furthermore, some negative influences are associated with money. For instance, money (excessive money), brings about social inequality in the society. Money spoils the consciousness of the people, alters people's consciousness and result in a situation, where one person suppresses and makes another person a slave (money slavery).

To this end, money influences people by putting them in slavery due to social equality in the society between the rich and the poor. Therefore, the time has come to control money and put it in its auxiliary place or position.

Conclusion

In conclusion, the consciousness of a society is capable of perfecting itself and the result of its perfection should become that the Society will find an opportunity to remove wildness and chaos inherited by atavism. Atavism is a cultural tendency whereby people in modern era revert their ways of thinking and begin to act act and think like people in the ancient or primitive time. However, at such a development of consciousness, the role of money in a society should return to its worthy place. In other words, money should cease to control the consciousness of people, but, on the contrary, money should be controlled by the consciousness of people.

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IMPACT OF APPRAISAL SYSTEM ON EMPLOYEE PERFORMANCE: A COMPARISON OF PERMANENT AND CONTRACTUAL EMPLOYEES OF PAKISTAN TELECOMMUNICATIONS COMPANY LIMITED (PTCL)

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Abstract

This research was conducted to study the impact of performance appraisal system in PTCL on employee performance. PTCL is the largest telecommunication services provider in Pakistan. PTCL was privatized in April, 2006 by selling 26 percent shares to Etisalat. The privatization of PTCL offered its employees an opportunity to quit the regular job and join on contractual basis due to higher incentives. Ever since its privatization, the permanent and contractual employees are working side by side in PTCL. There are different types of performance appraisal systems being used in PTCL for permanent and contractual employees. This research aimed at identifying different types of appraisal systems being used at PTCL for permanent and contractual employees. How the employees perceive their respective appraisal system and subsequently what are the implications on their performance? For this purpose a questionnaire was designed and data was collected from a sample of 96 people belonging to the cadre of both permanent and contractual employees. Seven hypotheses were developed regarding employees perception about their respective appraisal system and were tested through Z-test. The survey findings show strong deviations in terms of responses of permanent and contractual employees regarding their respective appraisal systems. The permanent employees showed strong resentment about their existing appraisal system. They termed it as an insignificant annual formality with no effectiveness at all based upon its weak linkage with compensation and benefits system. On the other hand, the contractual employees were found to be immensely satisfied with the implementation of their appraisal system. The main factors were found out to be a clear, strong and compelling linkage with the pay, promotion and training.

Keywords: Appraisal System, Employee Performance, Pakistan Telecommunications Company

Introduction
Background of Research

Pakistan Telecommunication Company Limited (PTCL) is proud to be Pakistan's most reliable and largest converged services carrier providing all telecommunications services from basic voice telephony to data, internet, video-conferencing and carrier services to consumers and businesses all over the country. The company maintains a leading position in Pakistan as an infrastructure provider to other telecom operators and corporate customers of the country. In April 2006, Emirates Telecommunication Corporation, which is commonly known as Etisalat, assumed management control of Pakistan Telecommunication Company Ltd. Etisalat was able to get 26% ownership of the company. PTCL is still in transition phase and has both regular as well as contractual employees. The performance management system in PTCL is

present in both its new and old structure. In old system (not exactly a PMS) annual confidential reports, commonly known as ACR are used as a performance measurement tool. The ACRs are now renamed as Performance Evaluation Reports. These are used for regular employee's promotion. And the new system for contractual employees is a top down performance evaluation system. More than one form is used for different cadres of contractual employees. These forms are then linked with pay (performance related pay), promotion and incentives. So at this stage there are two appraisal systems running simultaneously in PTCL.

This research has been conducted to study the impact of different appraisal systems used at PTCL on employees' performance. A comparison of permanent and contractual employees of PTCL has been done in this regard. The focus has been measuring the perceptions of both permanent and contractual employees regarding their respective appraisal system. These perceptions are crucial because how the employees perceive the fairness and equity in the performance appraisal system ultimately determine their own performance at workplace. Hence, the performance appraisal system of any organization surely has certain inherent implications on employee performance.

Objectives of Research

The objective of this research is to understand;
- Performance management mechanism at PTCL
- The appraisal systems being run at PTCL
- Which appraisal system is more effective at PTCL
- The purpose behind using different appraisal systems for different cadres of employees
- The impact and implications of different appraisal systems on employee's performance

Research Methodology

This research is a descriptive research with a combination of Qualitative and Quantitative techniques. Qualitative research was used to identify linkage of appraisal system with certain performance related factors. The vast literature available in electronic and print media was utilized for that purpose. Quantitative research was then used for getting response of employees through structured questionnaire.

Research Tool

For data collection, the questionnaire was developed to be filled by the employees. The questionnaire focused on evaluating the effectiveness of different appraisal systems by measuring perceptions of both permanent and the contractual employees.

Respondents

The respondents were middle management; managers, front-line managers, assistant managers, young executives and junior officers. Their bosses were mostly general managers, team/project leaders, assistant vice presidents etc.

Sampling

Non probability sampling had been designated for this research under which Convenience sampling was utilized. A sample of a total of 96 respondents was analyzed out of which half of them were permanent while remaining half were the contractual employees.

Performance Management

Performance management can be defined as a strategic and integrated approach to delivering sustained success to organizations by improving the performance of the human

capital and by developing the capabilities of teams and individuals within that organization (Armstrong and Baron, 2000). The process of performance management therefore focuses not only with 'WHAT' is produced but, also 'HOW' it is produced. It seeks to ensure that what has been produced is in line with the organization's needs and these products have been produced in line with the organization's way of doing things. In order to determine the overall effectiveness of any appraisal system and its impact on employee performance, literature suggests some of the following inherent characteristics to be considered.

Instrument Validity

Instrument validity basically refers to whether the performance appraisal system has well defined standards or not. The set of activities which are performed by the employee are measurable to what extent. Instrument validity is further determined by its accuracy of measuring the work specific activities. Whatever is performed by the employee at the workplace should be measured objectively. If the performance appraisal system is able to do that, this means that it has satisfactory instrument validity. One of the most peculiar characteristic of any performance appraisal system is its distributive justice. The distributive justice refers to whether the appraisal process results in a clear and unbiased appraisal or not. It broadly determines whether the best worker receives the highest evaluation scores or not. The good deal of distributive justice ultimately makes the appraisal system as fair and unbiased process. Besides fairness, the performance appraisal system should act as a catalyst to bridge the communication gap between the boss and the subordinate. Prompt communication and immediate feedback is the ultimate essence of any appraisal system which is possible only if the distributive justice exists.

Role of Supervisor

The role of any supervisor is very critical in determining and implementing the procedural justice in the appraisal system. Regardless of the efficacy and effectiveness of the processes of performance appraisal system, a justified role played by the supervisor is critical in implementation of appraisal system. It all depends upon how well a supervisor is able to keep the favoritism and biases away from the evaluation process. The supervisor should be emotionally strong and mature enough while dealing with his biases. An effective appraisal system not only evaluates the performance of the past period but also sets certain objectives and guidelines for future performance period as well. This makes the appraisal system a well balanced instrument in which both the past and future performance are equally catered. Merely evaluating the past performance may not prove to be much useful and productive for the organization as well as the employees. In order to foster a culture of continuous positive development and self excellence, a formalized goal settings related to future tasks is paramount. An effective linkage of appraisal system with goal setting is essential for better performance. Hence, the future goals and assignments should be comprehensively deliberated upon in the annual appraisal activity.

Performance Feedback

Performance feedback is very critical and crucial concept. The accurate measurement of performance and its subsequent communication to the person being appraised are very important processes and hence great care should be exercised in development and implementation of these processes. The feedback can be considered as a major determinant of shaping or breaking employee performance. If it is performed in an efficient way, it can generate productive responses from the employees. On the other hand, irregularities or lack of interest in provision of performance feedback can prove to be harmful for employees as well as the organization. The performance based pay is a buzz word now days. Many of the organizations are in a sort of dilemma while devising the compensation and benefits policies.

The question is whether the performance should be associated with direct financial rewards or the non financial awards. However, it is widely acclaimed that performance based pay based on performance ratings is the most effective method of motivating employees to improve & sustain their performance. The organizations where there is no concept of performance based pay for employees are ultimately indulged into a culture of underperformance.

Employee Participation

Employee empowerment and participation has been suggested by many organizational development models for improved productivity and positive growth. This involvement on the part of employees can be in any aspect namely financial decision making, job placement, desired training etc. The performance appraisal system is henceforth no exception. There is a dire need for success of any appraisal system that employees should participate in development of relevant performance criterions. The involvement of employees in the development of performance standards definitely leads to the formation of better performance appraisal system. Employee participation in appraisal system is such an aspect where we can find volunteer employees for devising the related benchmarks. Previous researches show that majority of the employees prefer that their performance be evaluated by an instrument developed and designed by themselves. The result is definitely the improved performance and involvement.

Company Profile

Pakistan Telecommunication Company Limited (PTCL) is proud to be Pakistan's most reliable and largest converged services carrier providing all telecommunications services from basic voice telephony to data, internet, video-conferencing and carrier services to consumers and businesses all over the country. The company maintains a leading position in Pakistan as an infrastructure provider to other telecom operators and corporate customers of the country. In 1947, Pakistan telecom sector inherited British Posts and Telegraph Department and later separated the Post and became Pakistan Telephone and Telegraph in 1962. By 1991 this was further re-organized thorough the PTC Act 1991 opening this public sector to the private sector companies. In April 2006, Emirates Telecommunication Corporation, which is commonly known as Etisalat, assumed management control of Pakistan Telecommunication Corporation Ltd. Etisalat was able to get 26% ownership of the company.

With employee strength of sixty-five thousand employees and 5.7 million customers, PTCL is the largest telecommunications provider in Pakistan. PTCL also continues to be the largest CDMA operator in the country with 0.8 million V-fone customers. Right now PTCL is in transition phase and has regular as well as contractual employees. The appraisal process in PTCL is separate for regular and contractual employees.. So at this stage there are two appraisal systems running simultaneously in PTCL. For regular employees, the appraisal process mostly occurs once a year but in some cases it is done after a minimum of 3 months to a maximum of 3 years time period. The generic performance evaluation form is used which is a standard and used in all government sectors since a long time. This appraisal process is only for gazetted employees. For the employees of lower grades, this particular form is not used. Similarly, in smaller regions the formal appraisal process is not used for evaluating performance of employees. The senior officer just gives remarks about performance of his employees, on the basis of which his promotion and other services are given This is a top down appraisal process in which immediate boss initiates the appraisal process and then countersigned by another officer, usually the boss' senior. In PTCL, formal appraisal process for regular employees started since the Government of Pakistan started the ACR system; whereas for contractual employees, this appraisal process started when Etislat took over PTCL in 2006. For contractual employees, the appraisal process occurs once a year. This appraisal

process is for all contractual employees with any occupational groups. PTCL follow a top down appraisal process for contractual employees

Data Analysis and Findings
Reliability Analysis

Reliability Statistics	
Cronbach's Alpha	N of Items
.887	38

Reliability Statistics		
Cronbach's Alpha	Variable	N of Items
.876	Instrument Validity	7
.811	Distributive Justice	4
.604	Procedural Justice	7
.718	Goal Setting	6
.638	Performance feedback	6
.876	Performance based pay	5
.811	Employee participation	3

Hypothesis Testing

H0: The instrument validity of performance appraisal system is satisfactory.

Ha: The instrument validity of performance appraisal system is not satisfactory.

Permanent Employees

N = 48	X = 2.6048	$\mu = 3$	S = 0.74976	$\alpha = 0.95$

Using Z-test,   Result: H0 is Rejected.

Contractual Employees

N = 48	X = 3.8646	$\mu = 3$	S = 0.99041	$\alpha = 0.95$

Using Z-test,   Result: H0 is Accepted.

102
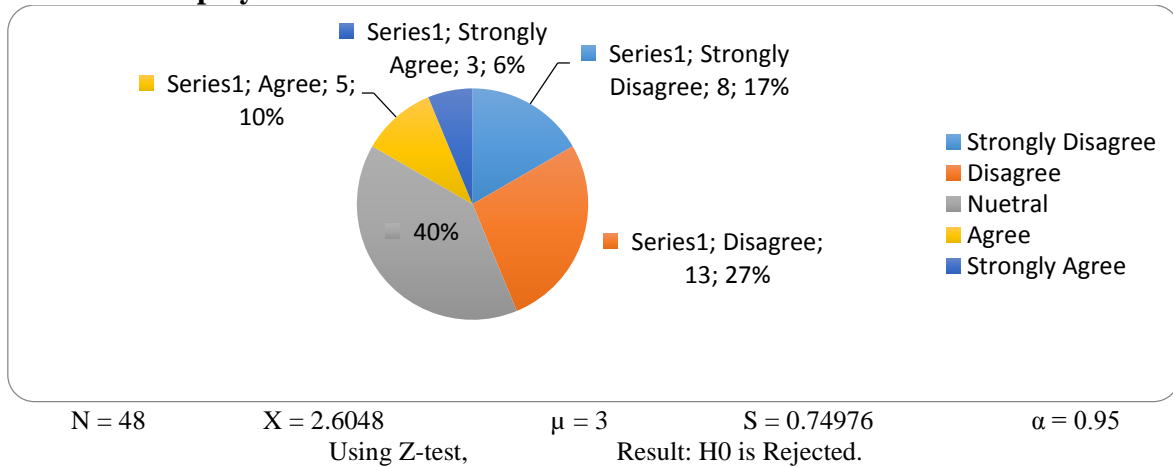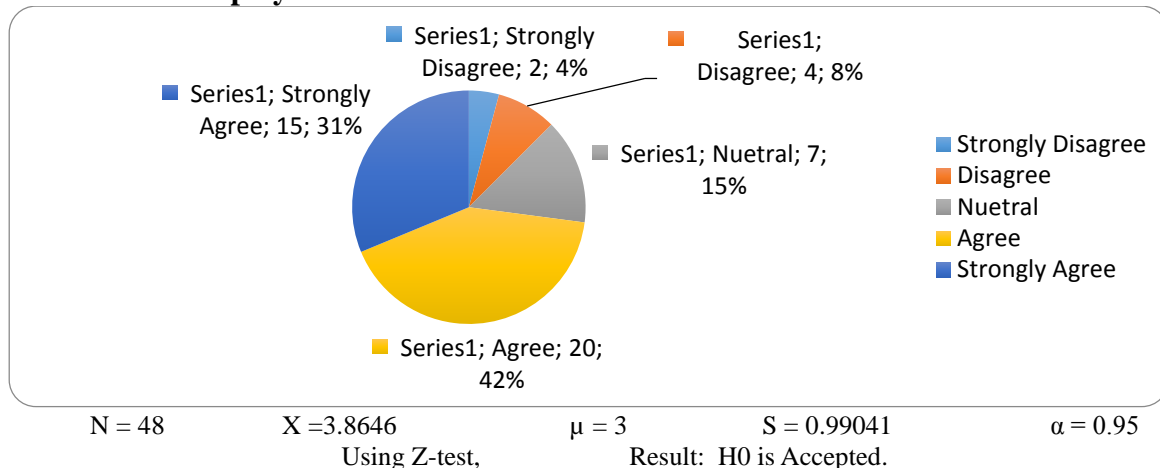
H0: There is distributive justice in processes of performance appraisal system.
Ha: There is no distributive justice in processes of performance appraisal system.

Permanent Employees

| N = 48 | X = 2.1457 | μ = 3 | S = 0.41426 | α = 0.95 |

Using Z-test,   Result: H0 is Rejected.

Contractual Employees

| N = 48 | X =4.1999 | μ = 3 | S = 0.61237 | α = 0.95 |

Using Z-test,   Result: H0 is Accepted.
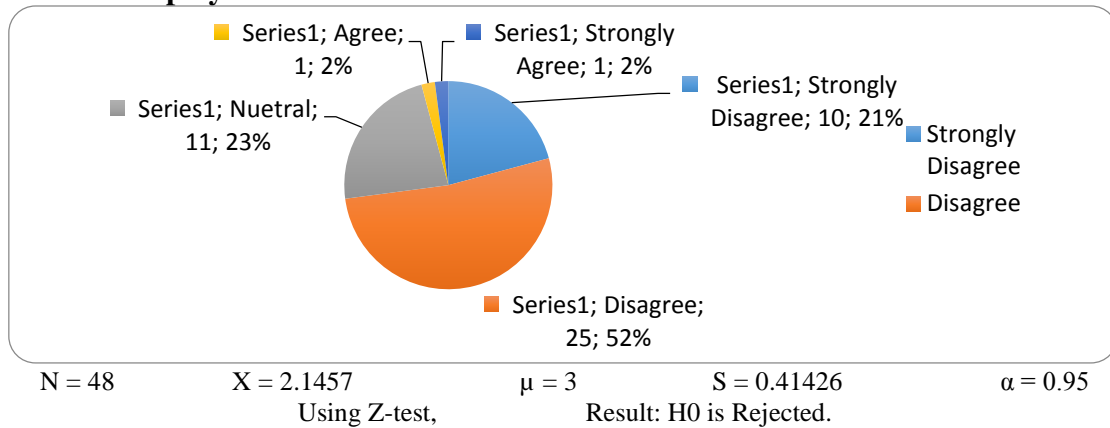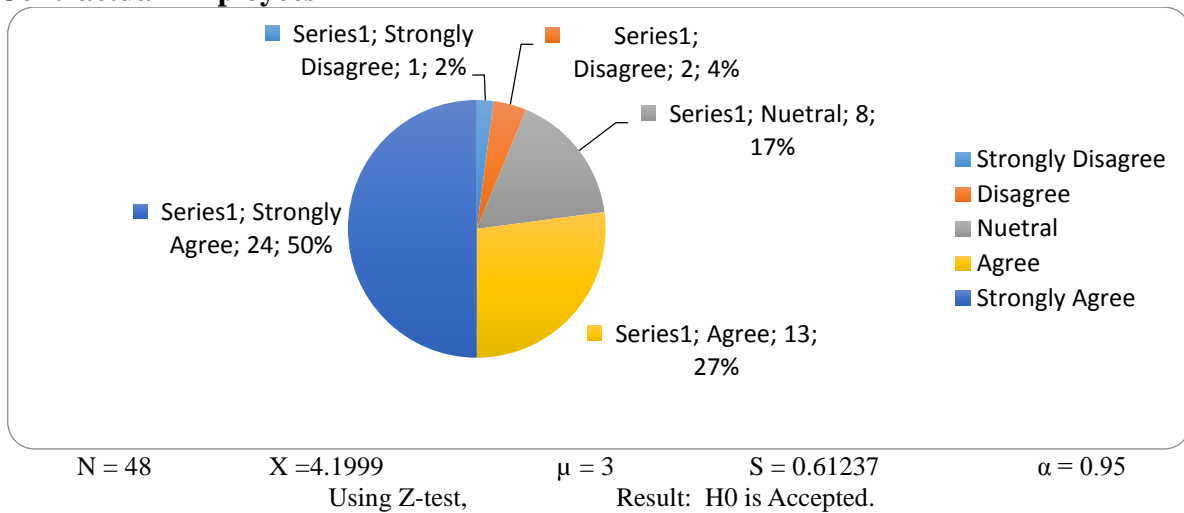
H0: There is procedural justice in implementation of performance appraisal system.
Ha: There is no procedural justice in implementation of performance appraisal system.

Permanent Employees

| N = 48 | X = 2.6741 | μ = 3 | S = 0.42352 | α = 0.95 |

Using Z-test,   Result: H0 is Rejected.

103

Contractual Employees

Series1; Strongly Disagree; 1; 2%
Series1; Disagree; 5; 10%
Series1; Nuetral; 10; 20%
Series1; Strongly Agree; 15; 30%
Series1; Agree; 19; 38%
Strongly Disagree
Disagree

N = 48   X =4.0114   μ = 3   S = 0.49124   α = 0.95
Using Z-test,   Result: H0 is Accepted.
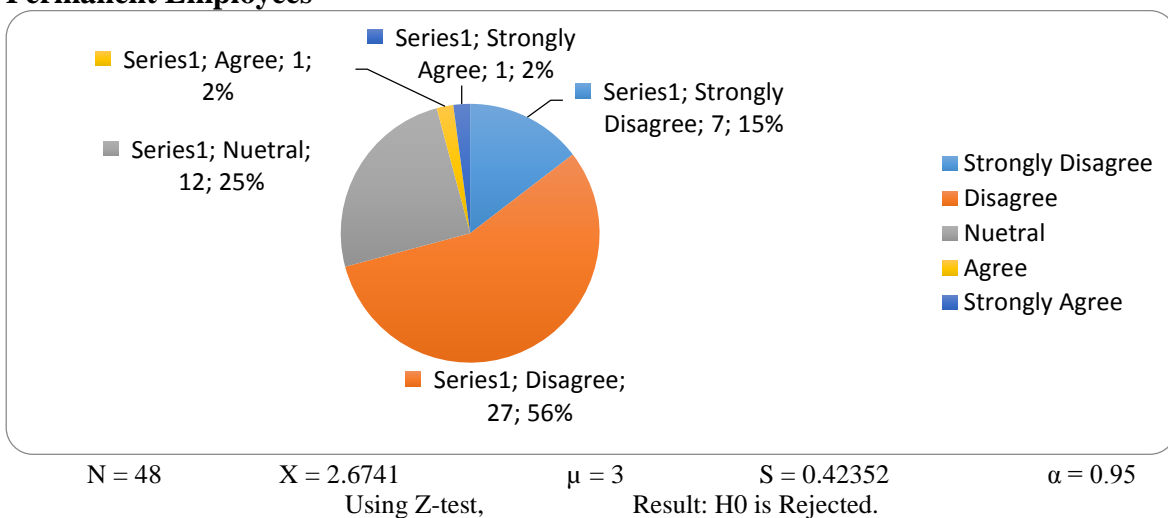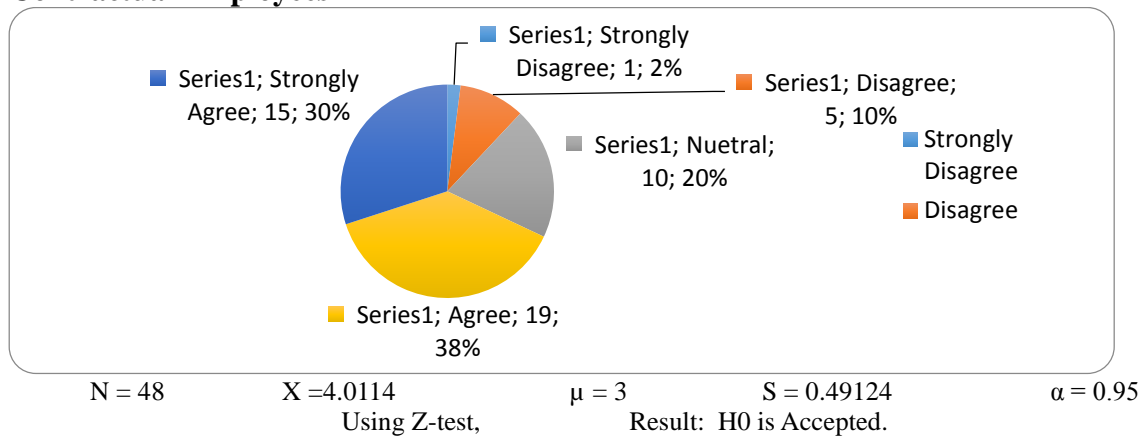
H0: There is proper goal setting in the performance appraisal system.
Ha: There is no proper goal setting in the performance appraisal system.

Permanent Employees

Series1; Strongly Agree; 1; 2%
Series1; Agree; 3; 6%
Series1; Nuetral; 11; 23%
Series1; Strongly Disagree; 17; 36%
Series1; Disagree; 16; 33%
Strongly Disagree
Disagree
Nuetral
Agree
Strongly Agree

N = 48   X = 2.1434   μ = 3   S = 0.50462   α = 0.95
Using Z-test,   Result: H0 is Rejected.

Contractual Employees

2% 2%
11%
20%
65%
Strongly Disagree
Disagree
Nuetral
Agree
Strongly Agree

N = 48   X = 4.3334   μ = 3   S = 0.54716   α = 0.95
Using Z-test,   Result: H0 is Accepted.
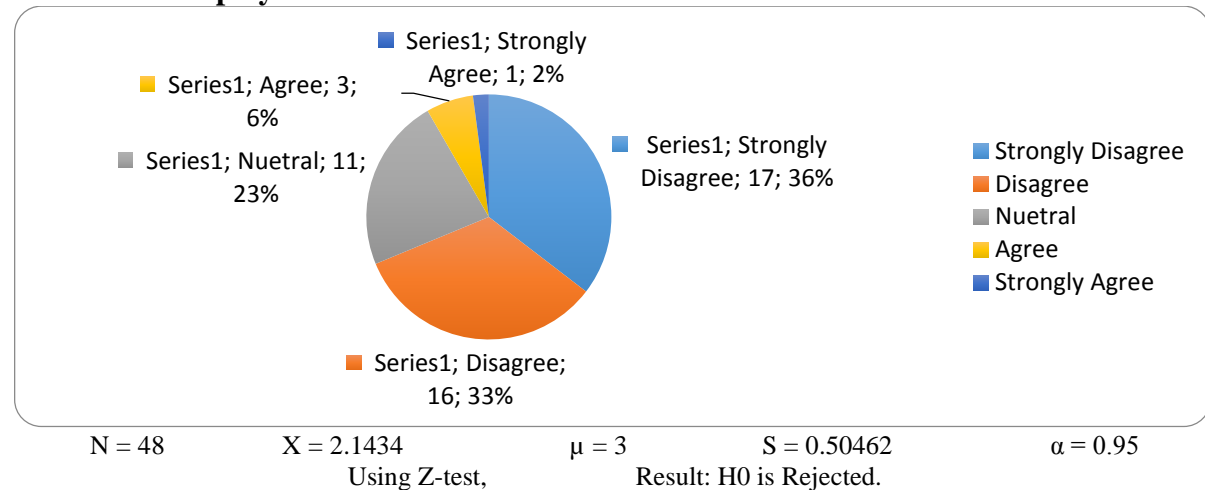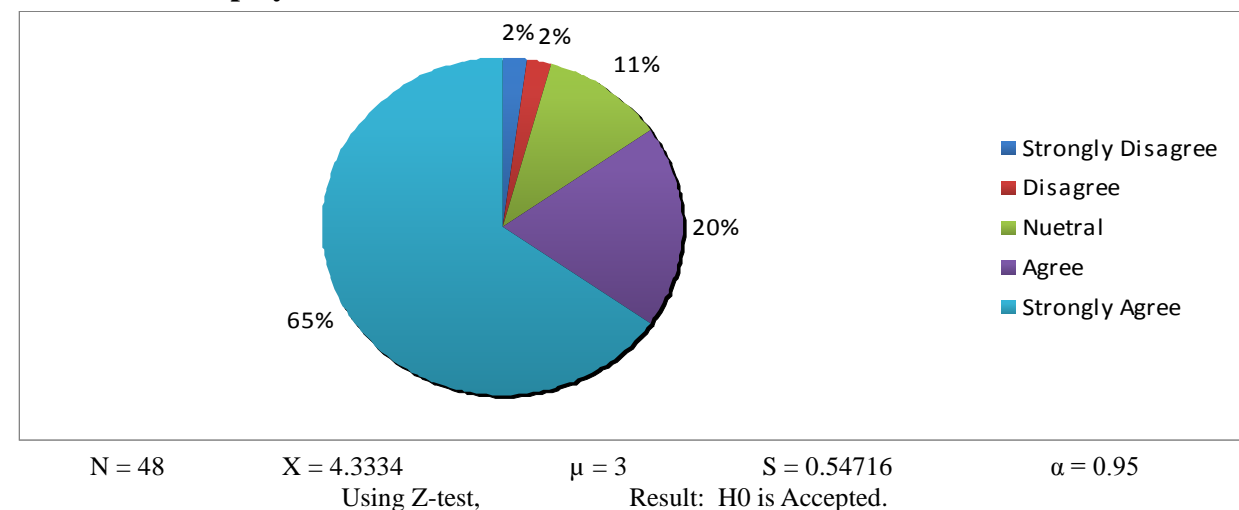
H0: There is adequate performance feedback in the performance appraisal system.
Ha: There is no adequate performance feedback in the performance appraisal system.

104

Permanent Employees

| N = 48 | X = 2.0083 | μ = 3 | S = 0.6026 | α = 0.95 |

Using Z-test,   Result: H0 is Rejected.

Contractual Employees

| N = 48 | X = 4.2233 | μ = 3 | S = 0.7683 | α = 0.95 |

Using Z-test,   Result: H0 is Accepted.
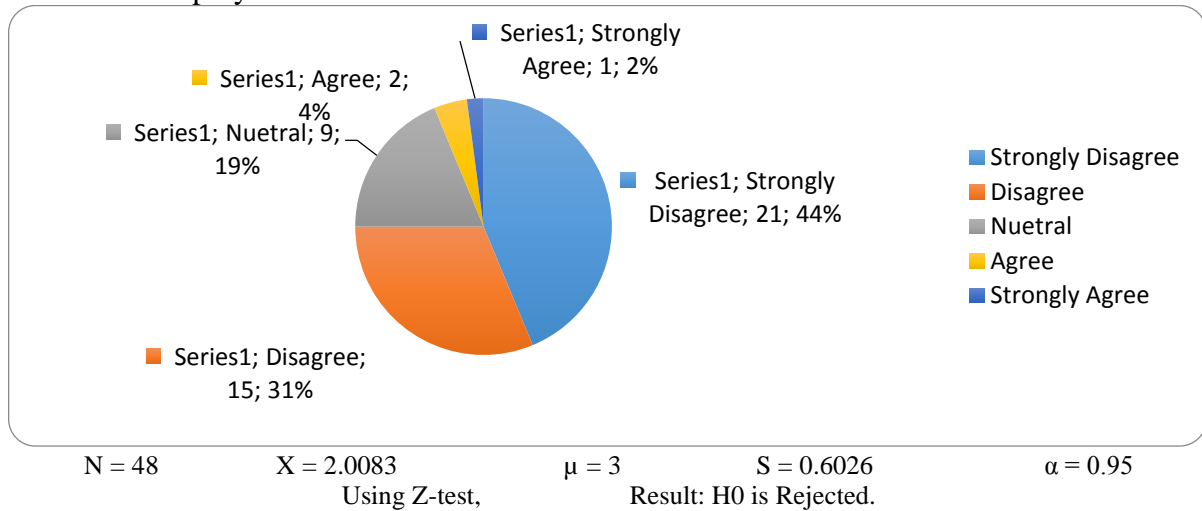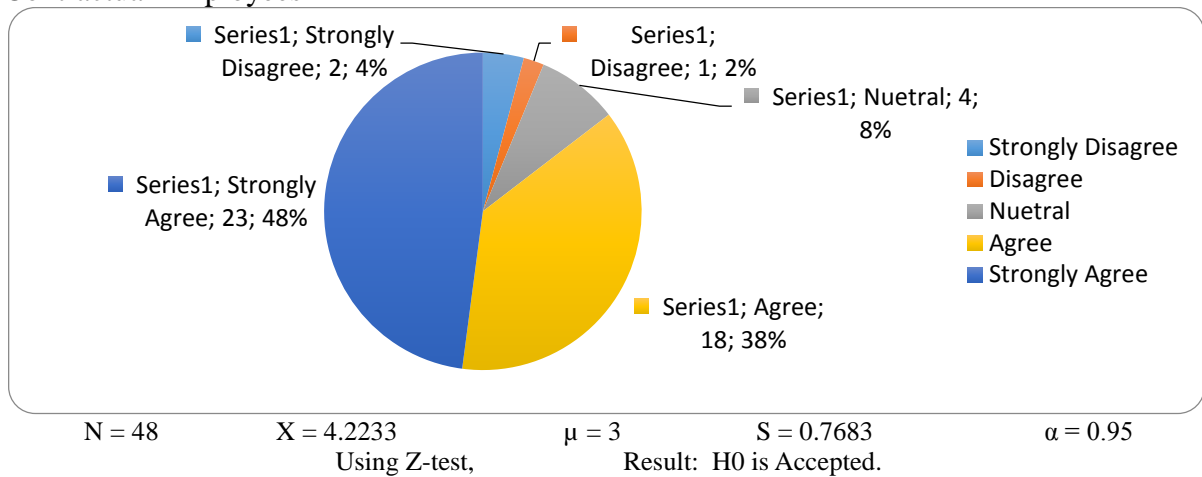
H0: There is strong linkage of pay with the performance appraisal system.
Ha: There is no strong linkage of pay with the performance appraisal system.

Permanent Employees

| N = 48 | X = 1.8668 | μ = 3 | S = 0.2558 | α = 0.95 |

Using Z-test,   Result: H0 is Rejected.

Contractual Employees

| N = 48 | X = 4.2177 | μ = 3 | S = 0.5913 | α = 0.95 |

Using Z-test,   Result: H0 is Accepted.
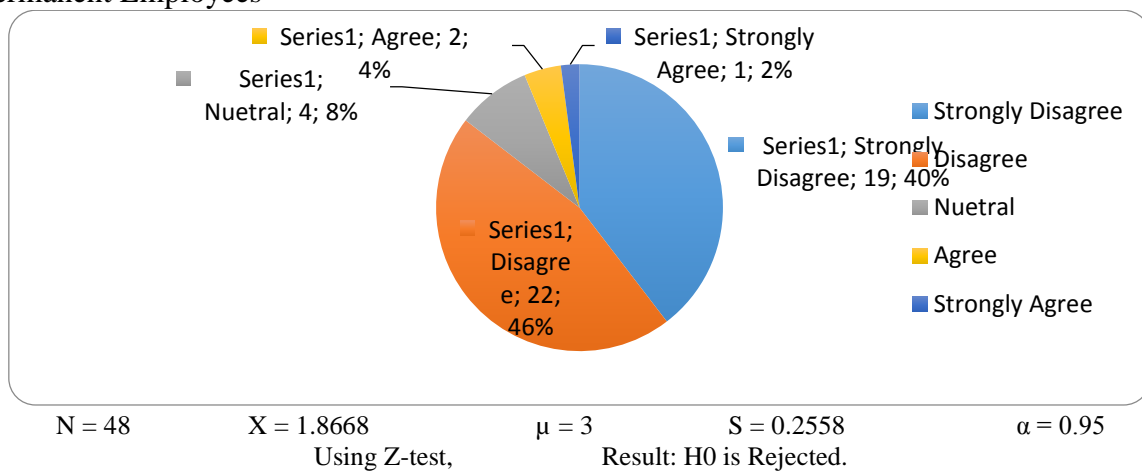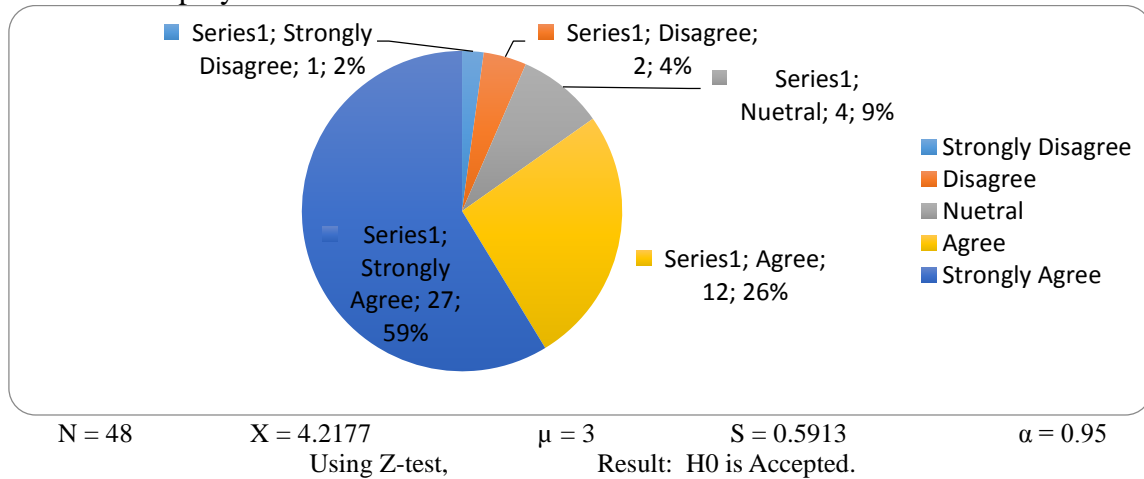
H0: There is employee participation in development of performance appraisal system.

Ha: Th ere is no employee participation in development of performance appraisal system.

Permanent Employees

| N = 48 | X = 2.7846 | μ = 3 | S = 0.8226 | α = 0.95 |

Using Z-test,   Result: H0 is Rejected.

Contractual Employees

| N = 48 | X =2.9153 | μ = 3 | S = 0.4201 | α = 0.95 |

Using Z-test,   Result: H0 is Rejected
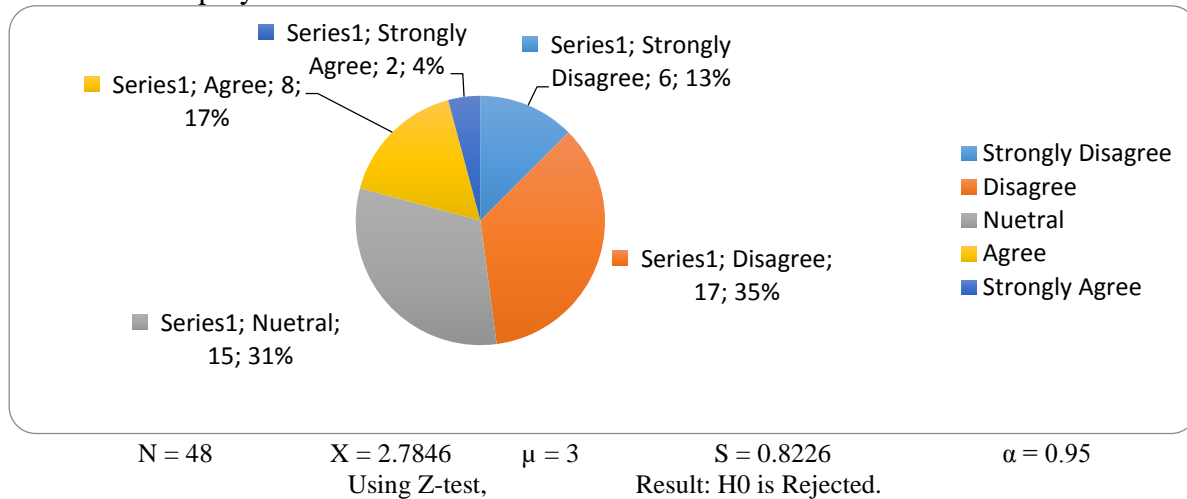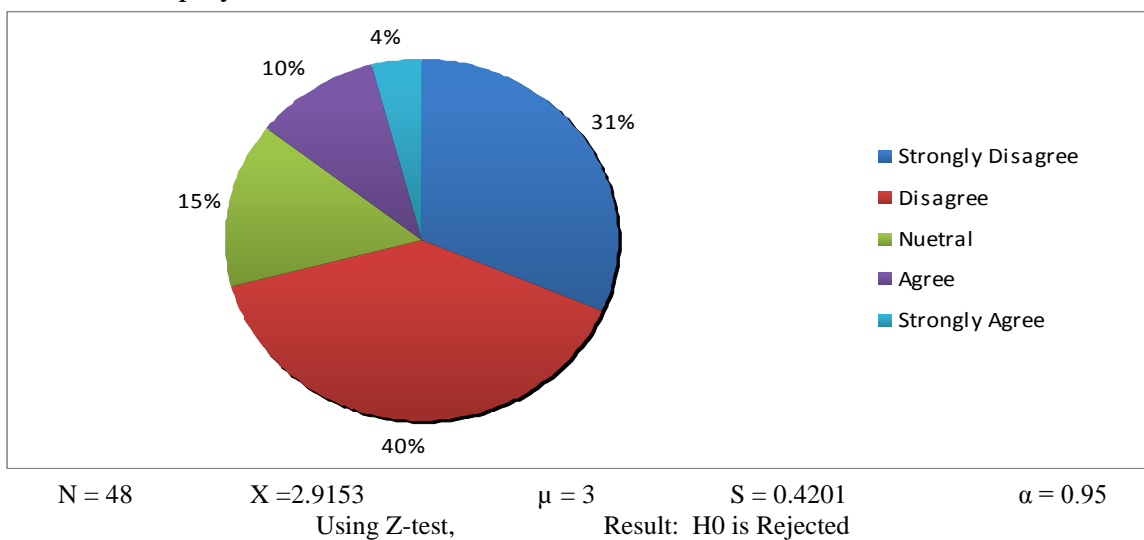
Discussion

From this study it is clearly evident that performance appraisal system has many inherent characteristics which determine its effectiveness and subsequently its implications on employee performance. The employee perceptions regarding performance appraisal system are very significant in measuring overall effectiveness of the system and its impact on employee. From this study, it was revealed that there are considerable differences between the responses of permanent and contractual employees of PTCL. The data collection was started with recording the responses of permanent and contractual employees regarding instrument validity of performance appraisal system. The instrument validity determines whether the performance appraisal system has clear and valid measures of job related activities or not. The responses of permanent employees clearly indicate that they are not satisfied with the instrument validity of appraisal system. On the other hand, the contractual employees seem to be greatly satisfied with the instrument validity of performance appraisal system.

The distributive justice refers to whether the appraisal process results in a clear and unbiased appraisal or not. it broadly determines whether the best worker receives the highest evaluation scores or not. A great deal of contrast was again observed while recording the responses of permanent and contractual employees. The permanent employees were having little faith with regards to distributive justice in the appraisal system. On the contrary, most of the contractual employees termed the appraisal system as fair and unbiased process. The procedural justice classifies whether the supervisor possesses adequate knowledge and training to properly implement performance evaluation or not. It deals with the ethics of supervisor in assigning fair and unbiased scores to performers. This research indicates that the permanent employees don't have much faith in the skills and training of their respective supervisors with respect to evaluating them judiciously. The overall procedural justice in terms of responses of permanent employees was questionable where as the contractual employees expressed greater confidence in their evaluators and were found satisfied with the supervisor's ability to evaluate their performance.

In order to foster a culture of continuous positive development and self excellence, a formalized goal settings related to future tasks is paramount. An effective linkage of appraisal system with goal setting is essential for better performance. Our survey findings show that very slight percentage of permanent employees responded positively in terms of goal setting in appraisal system. On the other hand, the contractual employees responded quite favorably in this regard. Most of them said that their supervisor clearly expresses the goals and assignments for the next performance period. They have all the possibilities to discuss the goals and develop suitable course of action to achieve them. This not only provides them a confidence to work hard but also gives them a broader picture of the work unit and the organizational objectives. The essence of any performance appraisal system in vogue is undoubtly the performance feedback. This research also focused on whether the performance feedback mechanisms in appraisal system are helpful in improving on the job performance or not. According to permanent employees, the performance feedback which they receive is vague and insufficient. They termed it just an annual formality with no considerable level of involvement by the appraiser. The contractual employees were of the view that the performance feedback they receive is sufficiently detailed and throughout the feedback process, they have the possibility to discuss work related issues with the supervisor. They also admitted to having received regular and timely feedbacks besides the annual appraisal activity. Most of them were greatly satisfied with the feedback mechanism and were of the view that level of involvement of their supervisors is also adequate.

Although there exists various never ending debates to associate performance appraisal system with direct financial rewards vis a vis the non financial rewards. However, it is widely acclaimed that performance based pay based on performance ratings is the most effective method of motivating employees to improve & sustain their performance. This research

indicates that there is no concept of performance based pay for permanent employees of PTCL. The appraisal system is only linked with promotion and not the pay. Contrary to this fact, a clear, direct and compelling linkage was found between performance and pay in case of contractual employees. According to them, there is a clear and reasonable established procedure for determining performance based pay. Most of them were of the view that the amount of performance based pay they can earn through high evaluation scores will definitely make a noticeable difference in their future performance. The involvement of employees in the development of performance standards definitely leads to the formation of better performance appraisal system. Employee participation in appraisal system was the only aspect of this research where identical responses were recorded from permanent and contractual employees. Both segments were of the view that there is no involvement of employees in development of appraisal system. Almost all the respondents agree that they would prefer that their performance be evaluated by an instrument developed and designed with the help of employees.

All the above mentioned attributes of appraisal system ultimately have its implications on employee performance. As it is clearly evident from the study that contractual employees are highly satisfied by implementation of the appraisal system. An effective linkage of their appraisal with pay, promotion and training serves as an impediment of motivation which is subsequently reflected in their performance. The appraisal system is effectively ensuring their deserved remuneration package as well as the career development. On the other hand, the results of the study show that appraisal system is just an annual formality for the permanent employees. Their appraisals have no bearing on their remuneration package. Their perceptions about their appraisal system were found to be quite low. The implication of it is definitely on their performance. The less significance of appraisal system in the minds of employees ultimately fosters a culture of underperformance.

Conclusion

Privatization of PTCL was the largest bidding activity in the history of Pakistan. PTCL was sold to Etisalat at a loss of Rs. 23.64 billion. The privatization of PTCL offered an opportunity to PTCL employees to quit the regular government job and join on contractual basis. The attraction created was high salary of contractual employees. PTCL is still in the transition phase where both regular as well as contractual employees work side by side. The Permanent employees are evaluated through a standard performance appraisal system used by all the government institutions. The performance evaluation criteria is different for contractual employees and they get fast promotions based on their appraisal as compared to regular employees who get promoted after obtaining certain score and spending a certain years on their post. The dual systems working in parallel have created many problems. The contractual employees getting fast promotions become the bosses of their previous superiors that inculcate a sort of de-motivation in regular employees. There is a clear lack of interest and dissatisfaction among permanent employees regarding their performance appraisal system. However the contractual employees seem to be quite satisfied with their appraisal system. This differentiation and residency of more than one system in an organization tends to spread jealousy and at the same time demotivate the employees which ultimately affects their performance. In case of regular employees, the performance evaluation forms are not used judiciously and transparently. Employee's private relationships with its boss also play a major role in assessing the performance.

On the basis of this research, it can be concluded that the perceptions of permanent and contractual employees regarding the performance appraisal system vary in a great deal. These two segments of employees are totally opposite to each other in terms of their views about the fairness, transparency, utilization and significance of performance appraisal system. Subsequently, their respective perceptions have strong implications on their overall

performance. The appraisal system is fostering the culture of underperformance into the permanent employees. This can be considered as a major factor of PTCL not being able to build up a solid corporate entity even after years of being privatized.

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THE DEVELOPMENT OF SHARI'AH ACCOUNTING: EPISTEMOLOGY PERSPECTIVE

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Abstract

The shari'ah accounting has emerged and developed when the shari'ah business has been growth. Shari'ah accounting rests on shari'ah compliance. Development of shari'ah accounting touches fundamental aspect in epistemology such as the concepts of shari'ah transactions which implies shari'ah-based accounting postulates, principles, concepts, and financial reporting. This paper aims to explore the discourses of epistemology in the development of Shari'ah accounting. It will describe the shari'ah principles as an epistemology of Islam. This paper also discusses some challenges facing epistemology in Shari'ah accounting.

Keywords: Shari'ah Accounting, Epistemology, Shari'ah Parameters, Maqashid Shari'ah.

Introduction

Accounting has developed in many desciplines includes financial accounting, management accounting, social accounting, public sector accounting, behavioral accounting, and shari'ah accounting. Accounting is the language of business and therefore accounting responses and follows the business development. When the shari'ah busniess emerged and growth in contemporary economic, the need for shari'ah accounting began arised. Shari'ah accounting in Indonesia has emerged and developed when the first shari'ah bank established in 1992 and then shari'ah insurance developed in 1993. The need for accounting treatment and standard adherence to shari'ah, to recognize the shari'ah transactions in the shari'ah finance institutions i.e banking and insurance.

Shari'ah accounting rests on shari'ah compliance. The early development of Shari'ah accounting as it includes a profit sharing account, margin revenue account, and additional accounting report such as statements of sources and uses zakah funds. Developments subsequent accounting touches fundamental aspect namely epistemology of Shari'ah on accounting such as the concepts of shari'ah transactions which implies sharia-based accounting theory. There are several epistemology approaches in shari'ah accounting include empiricism, rationalism, fenomenalism, positivism, post modernism. The shari'ah accounting is in light of shari'ah principles. It is therefore the shari'ah accounting should adopt shari'ah epistemology for developing the research methodology of shari'ah accounting.

This paper intends to explore the discourses of epistemology in Shari'ah accounting and its implies on revising accounting concept, accounting treatment, reconstruction of financial statement, and reformulation on internal control and auditing. It will describe the concept of AAOIFI in developing of shari'ah accounting, the objectives of shari'ah (maqashid shari'ah), shari'ah parameters for evaluating or determining shariah legitimacy of financial instruments, and concept of zakah as an epistemology of Islam. This paper also discusses some challenges facing epistemology in Shari'ah accounting.

Epistemology in Shari'ah Perspective

Epistemology[2] is knowledge or science, the branch of philosophy that is directed toward theories of the sources, nature, and limits of knowledge. The knowledge obtained through reason and the human sense with a variety of methods including; inductive methods, deductive methods, methods of positivism and dialectical methods[3]. Epistemology is about the sources of knowledge and how could the scientist get the science from the sources (Husaini 2011). The Epistemology is the concept of science or at least the theory formulation. Epistemology is the one of elements of the worldview (Zarkasy 2011). Form these views, shari'ah epistemology can be interpreted as the concepts of theory or science in light of shari'ah perspective or Islamic principles.

Shari'ah epistemology is based on the paradigm of tawhid from revelation (Kasule 2009). And then he argument that the source of knowledge for the people of faith is a revelation, rational (aql), empirical evidence, observation of the universe (kaun). Kasule further explained that in term of quantity, empirical knowledge is the first. But in term of quality, the first is the knowledge comes from revelation. There is a close relationship and dependence among revelation, empirical observation, and conclusion (theory and knowledge). Aql is needed to understand the revelation and reach conclusion from empirical observation. Revelation protect it from errors and provide information about something invisible. Aql cannot fully understand the empirical world without revelation (Kasule 2009).

Based on AAOIFI, the development of Shari'ah accounting in two ways (Suwiknyo 2007): (1) establish objectives based on principles of Islam and its teaching and consider these established objectives in relation to contemporary accounting thought, (2) start with objectives established in contemporary accounting thought, test them against Shari'ah shari'a, accept those that are consistent with shari'a and reject those are not.

The two ways are a part of epistemology of Shari'ah accounting. First, do istimbath of the verses of the Qur'an, al hadith, *ijma'* from prophet's successors and companions, and *qiyash* and then consider with the theory of contemporer or conventional accounting. This method requires the capacity to interpretation the Qur'an and al Hadith (tafshir and ta'wil). At least we could review of the relevant interpretation the qur'an and hadith from the yuridists (fiqh experts) for formulating the new concepts and principles of accounting. Second, review the theories, concepts, and techniques of contemporary accounting and then assessed and compared in accordance with or contrary to Shari'ah principles.

Rosly (2010) proposed four parameters to be considered in review in both substance and form and of transactions, therefore help enhance their Shari'ah compliant position. The parameters consists of (1) aqd approach, (2) maqashid shari'ah approach, (3) financial reporting approach, and (4) legal documentation. The four parameters will be explained the following below.

Aqd Approach

Aqd is similar with contract in contemporary business. according to major fiqh, the validitity contract rest on several requirements: buyers and sellers, subject of contract (goods and services), price offer, offer and acceptance (ijb and qabl). The parties are involved in contract have an obligation to fulfill it. As mentioned in the Quran, Surah 17, Verse 34 reads:"And fulfill every engagement (ahd) for every engagement will be inquired into. When the one of them is no existence the contract will be defect. The elements of ambiguities (gharar) must be avoided in all contracts as its presence will make the contract invalid (Rosly 2010).

The valid of contract has an implication on accounting treatment especially on principle of recognition. If the aqd (contracts) of transaction are not consistent/fulfillment with

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[2]. http://encyclopedia2.thefreedictionary.com
[3]. http://id.wikipedia.org

the requirements of contract and gharar exist in contract, the transaction should not be recognized in accounting entry. The principle of transactions recognition rest on the validity of contract and the absence of gharar . The validity of contracts (Aqd) are also subject to audit and guidelines for audit.

Maqashid Shari'ah and Financial Reporting Approach

Maqashid shari'ah by Al-Ghazali is the most popular for reconceptualizing of Shari'ah finance is an example of shari'ah epistemology. Epistemology of shari'ah accounting by reconceptualization of the theories and principles of conventional accounting based on revelation or the objective of shari'ah (maqashid shari'ah). The definition of maqashid shari'ah based on Imam Al Ghazali (Dusuki 2007): The Objective of shari'ah is to promote the well-being of all mankind, which lies in safeguarding their faith (din), their human self/life (nafs), their intellect (aql), their posterity (nasl) and their wealth (property). In principle, the maqasid of Shariah serves to do two essential things, namely tahsil, i.e. the securing of benefit (manfaah) and ibqa, i.e. the repelling of harm (harom/prohibition) or injury (madarrah).

Maqasid shari'ah become the indicators of the objective to accounting for providing the external users or stakeholders the financial information and the business compliant shari'ah continuously. The financial statement assurances that the business doesn't contain the harm business. Based on this, the financial reporting of the shari'ah entities should provide the information not only the financial aspects i.e assets, liabilities, equity, and income (wealth/prosperity aspect) but also nonfinancial informations include assurance protecting life of human being i.e. insurance for employees family which expressed of posterity aspect (nasl), assurance of life like insurance for health, education, pension (nafs aspect), social responsibility for environment.

The characteristic of shari'ah financial reporting should gives an information the obligation of entity zakah. Zakah can be computed on the difference between assets and liabilities can be called as the net wealth of entities. In relation to protect the faith of wealth, the entities should protect the business from riba. Zakah enhances the financial reporting to meet the objectives of shari'ah (maqashid shari'ah) include faith, life, intellectual, wealth distribution. The application of zakah and its impact on financial reporting will be explained in the next section.

Legal Documentation of Contract Approach

The purpose of legal documentation is to provide security and protection to contracting parties when their rights, obligations, and responsibilities are clearly spelt out in the terms of agreement or contract. This security enabled them to seek legal protection in case the outcome of the contract is not realized as agreed upon in the agreement, Include: (1) contractual document, (2), the rule of law, and (3) regulatory. Legal documentation is suggested by Allah in surah al Baqarah ayah 282 especially for debt transactions is mandatory.

The Concepts of Shari'ah Accounting

According to American Institute Certified Public Accountant (A.I.C.P.A), "Accountancy may be defined as the art of recording, classifying and summarizing in a significant manner and in terms of money, transactions and events, which are in part, at least of financial character, and interpreting the results. A combination of reality and imagination constitutes a subject of Arts"(in Ansari 2011). Based on the definition of the AICPA, accounting is an accounting process has scope at least: (1) accounting as shows that nature is constantly evolving and not rigid. Meaning significant manner suggests that techniques and certain methods (standards) but also constantly evolving to adjust to business development, (2) accounting is required for a transaction or event related to money or at least financially measurable.

The financial statement as output of accounting process is part of the language of business. The Financial statements are reliable and comparable if they meet relevant qualitative characteristics and stated periodically. They are also supported accounting policy, accounting system, intern control, and auditing and based on standard. Postulates, principles, concepts, and accounting treatment are part of the scope of accounting.

The concepts of recording transactions (accounting) has been ilustrated in Al Qur'an surah al Baqarah: 282-283. The Qur'an verses contain some concepts of accounting. Consider the following indices: (1) Recording each of transactions and/or contracts (aqd) with the truth more than fairness. Recording in the contemporary businesses need accountancy techniques. For the purpose, recognition of transaction with cash based method is more appropriate than accrual based method, (2) The parties which involved the transaction should dictate (imlaq) the (debt) transactions, they should dictate the recording with two witness or two women witness and one man witness. Witnesses can be substitued by valid and reliable evidences of transaction in the business today. Two or three witnesses are identical to duplicate evidences. This is the principle of internal control, (3) A business contracts need trust among parties to contract. These verses also contain the messages of the importance of audit in addition to the internal control. Shari'ah accounting requires the different audit procedures. Shari'ah audit is to ensure the products, services and all activities by IFIs do not violate the shari'ah (Yacoob 2012). As an example, audit procedur on al bai' bithaman 'ajl (BBA) contract (purchase contract) found that the murabahah/BBA contract is valid via the aqad approach, the financial reporting approach should be able to show that the bank has initially hold ownership prior to the murabahah sale in which the object of trade is recorded as fixed asset in the bank's balance sheet prior to disposal (Rosly 2010).

Thus, shari'ah audit not only examines the fairness of the financial statement but also adherence the transactions to shari'ah principles (shari'ah compliance audit). Shari'ah compliance concerning interest (riba), ambiguities (gharar), gambling (maisir) and impure commodities such as intoxicants and pork (Rosly 2010). The contract terms in accordance with the types of transactions such as the suitable of the use of the funds based on contract, not just earn profit/loss or pay installments, fulfilling the elements of ownership or possession the goods in murabaha contracts, and as well as the justice of profit sharing ratio in mudaharabah contracts. Shari'ah audit encourages to reformulate the auditin g standard, professional ethics, and enhancement shari'ah competences of auditor. Even it is possible to change the organizational culture of public accounting firms.

Hameed (2001) defined that accounting as accounting process as AICPA definition. According to Hameed, Shari'ah accounting can be defined as the "accounting process which provides appropriate information (not necessarily limited to financial data) to stakeholders of an entity which will enable them to ensure that the entity is continuously operating within the bounds of the Shari'ah and delivering on its socioeconomic objectives. Shari'ah accounting is also a tool, which enables Muslims to evaluate their own accountabilities to God (in respect of inter-human/environmental transactions)".

Based on that definition, the concept of Shari'ah accounting as an accounting process of providing appropriate financial information to stakeholders of an entity, provide assurance to them that entity operates in accordance with sharia, and also provide information of socioeconomic activity. Shari'ah accounting is as a medium for moslems accountability to God, human beings, and their environment.

Accounting postulates and principles have to be subject to reviewable from a shari'ah point of view. An accounting entity is "Any economic unit which has been selected as the subject to be accounted for (that is, as the accounting entity) is to be viewed, in the accounting process, as a real entity, existing in its own right, separate and distinct from other entities which have dealings with it (Ahmed 1994). Ahmed (1994) pointed that muslim jurisprudence *(Fiqh)* was familiar with the idea of entity or nominal personality as it is the

case for endowment *(Waqf),* treasury *(Baitul Mal).* Thus from this a view point, the entity postulate is congruence with shari'ah, because in Islam everything is permitted and lawful except that which is explicity prohibited in the Holy Qur'an or in the *Sunnah..*

The going concern, or continuity, postulate holds that the business entity will continue its operations long enough to realise its projects, commitments, and on-going activities (Ahmed 1994). In Islamic jurisprudence there is a principle similar to this postulate, that is, the principle of "retaining" or "accompaniment" (Istishab). However, although the continuity postulate does not contradict Islamic principles (Yacoob 2012). But the conservatism principle is the one of the most questionable from shari'ah perspective because it holds that when choosing among two or more acceptable accounting techniques, some preference is shown for the option that has the least favourable impact on the stockholders' equity (Belkaoui 1985, 220).

The Concept of Zakah As An Epistemology of Shari'ah Accounting Zakah is an obligation to moslems. Zakah is subject to *amwal* (assets or wealth) based on Qur'an at Taubah 103, Allah said "Take aims out of their property, you would cleanse them and purify them thereby, and pray for them; surely your prayer is a relief to them, and Allah is Hearing and Knowing" and Qur'an al Dhariyat 19, Allah said "And their property was a portion due to him who begs and to (Al Qardhawi, undated, p. 53): (1) gold and silver, (2) corps and fruits, (3) earnings of trade and other business enterprise, and (4) what is drawn from beneath the earth. If the earnings of trade (net income) is subject to zakah then zakah expense of net income should be deductible by net income and presented in statement of changes in equity at the end of period. Implementation of zakah has implication on accounting treatment.

The concept of property (assets) based zakah was different from the concept of asset in the financial statement. For example, The need for calculation of zakah of inventory (the final products/merchandise) at the end of period. So that it is the necessary for adjustment entry at the zakah expense at the end of period. From this concept of zakah (assets), zakah expense is deductible to cost of product or treated as overhead cost.

The concept of zakah also iincludes hawl, nishab, and rate of zakah are the basic foundation of Shari'ah financial reporting. Hawl is identical to the principle of periodization. Nishab and zakah rates can be the basis for calculating zakah expenses of assets that are identical to method of depreciation. The kinds of zakah and concept of zakah could be the basis of reclassification of assets that is different from classification of assets in conventional accounting. Adoption of the concept of zakah suggested allocation of zakah expenses allowance.

Based on zakah concepts, assets should be reclassified into (Isa 2005): (1) zakatable assets are assets that are subject to zakah, (2) not zakatable assets are assets that are not subject to zakah, and (3) assets that should be deducted from the total zakatable wealth. If the entity has the assets shall be paid their zakah. Assets of entity such as inventory, idle assets, and income (profits) are object of zakah. Qardawi cited the hadith that the Prophet did not obligate *zakah* on assets except on growing and producing assets money include gold or silver used as cash business assets and as savings (Al Qardhawi). Furthermore he stated that according to Companions 'Ali and "Abbas, the creditor must pay zakah for all past years upon receiving the debt back if ever (Isa 2005). Based on this opinion, current assets in company should be paid their zakah. The current assets are classified as zakatable assets. So that at the end of the period, it had been made adjustment for the assets account that is zakah expense allowance.

Isa (2005) stated that, fixed assets in corporate are not zakatable assets. But in my opinion, if the fixed assets are as savings, hoarding, or as investation (idle fixed assets) are not excused from the payment of zakah yearl. In facts, many companies had a few idle land for investation's savings (purposes). Al Qur'an verse "……….And they ask you as to what they should spend. Say: what you can spare. Thus does Allah make clear to you the

communications, that you may ponder". Even intangible assets; these are rights such as copyright, printing rights, patents, trademarks and brand names. The assets should be paid their zakat, thus they should be reappraised at market value at the end of period.

According to accounting standard, a statement of sources and uses of zakah separated with the balance sheet and income statement. But in this method, zakah expense (allowance) is presented in balance sheet and income statement. Zakah expense is treated as depreciation expense, overhead expense, or cost of product. Implementation of zakatable assets has an implication on shifting of financial statement objectives. The objective of financial statement to provide some informations about business financial performance for external users. But zakah based financal statement will provide the financial performance and obligation of entity's zakah. Business performance is also measured based on Zakah payment.

Calculation and payment of zakah reconstruct accounting treatment include recognition, measurement, presentation, and disclosure in the financial statement. Zakah encourages the truth financial statement. Spirituality of zakah shapes the attitude of management (accountant) tied to the dimention of the world and hereafter. Zakah based financial statement meets the objectives of shari'ah (shari'ah maqashid).

The Challenges Facing Epistemology in Shari'ah Accounting

Currently there has been developing a number of epistemologies in shari'ah accounting. The development of shari'ah finance and shari'ah transactions represent an opportunity for the development of shari'ah accounting based on empirically research. Financial performance evaluation of Shari'ah financial institution can be investigated with almost quantitative approach. Qualitative approachs are necessary for serving to identify the determinants such as profit sharing ratio for deposit and financing of mudharabah, and margin of purchase contracts like murabahah, istishna', and salam.

It is important to examine the behavioral aspects (Alim 2011) of transactions processing and customers characteristics, and Shari'ah organizational culture in Shari'ah finance industry. As well as implications for the development of the Shari'ah financial regulatory such as Shari'ah obligation (sukuk), Shari'ah banking insurance, Shari'ah mortgages, zakah, waqf on accounting treatment. Studies for evaluating the consistency in the application of Shari'ah accounting standard. The approach of these studies can adopt an empirical epistemology

Test of shari'ah compliance in the application of the contract of shari'ah transaction, study of constructing Shari'ah concept for accounting should adopt shari'ah epistemology because shari'ah concept must be developed based on al-qur'an, hadiths, and/or fiqh. Shari'ah epistemology required to test and reformulation of postulates, principles, concepts, standards, and accounting and finance theory derived from the verses of al Qur'an, hadiths, and fiqh. Then construct and integrate them on contemporary business. Similarly, the importance the study of harmonization and comparison of Shari'ah accounting standards in some moslem countries. Study of gold as money versus fiat money, the concept of waqf on the feature of financial statement, zakah integration in fiscal system.

The challenges faced in Shari'ah accounting research is not only epistemology and robust methodology but fit between issues and epistemology and fit between epistemology and methodology. Positivistic approach with a variety o methodologies are surveys, experiments, field studies, contingency approach and the level of covering explanative, descriptive, and predictive. Positivistic approach will be fit to empirical studies such as evaluation of financial performance, behavioral and cultural aspects of the organization, and the market share of Shari'ah finance. Similarly, the epistemology approach includes phenomenology, critical, interpretive, hermneutistic, etc. This approach fit with the evaluation of accounting policy and regulation issues, analysis of accounting standard, determination of

profit sharing ratios, development of Shari'ah audit model (Abdul Rahman 2008), and internal control of Shari'ah finance institutions.

While, the researches aim to construction or reconstruction the structure of the Shari'ah theory, postulates and principles, concept of the elements of the financial statement are suggested to use epistemology in accordance to shari'ah, the name is shari'ah epistemology. The Concept of zakah, the objectives of shari'ah (maqashid shari'ah), the concept of istimbath, and and the parameters of shari'ah compliance from Rosly, consists of (1) aqd approach, (2) maqashid shari'ah approach, (3) financial reporting approach, and (4) legal documentation as alternatives approach of shari'ah epistemology.

Conclusion

Shari'ah accounting become an accounting descipline in the recent time. It was developed to response the shari'ah business practices. The formulation of shari'ah accounting should be in light of Islamic principles and therefore principles, concept, accounting treatment, and financial reporting must be consistent with shari'ah. Development of shari'ah accounting touches fundamental aspect in epistemology such as the concepts of shari'ah transactions which implies sharia-based accounting theory. It explained that the objectives of shari'ah (maqashid shari'ah), shari'ah parameters for evaluating or determining shariah legitimacy of financial instruments, and concept of zakah as an epistemology of shari'ah. The challenges are faced in Shari'ah accounting research is not only epistemology and robust methodology but fit between issues and epistemology and fit between epistemology and methodology.

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CHINA: A CASE OF 'MERCANTILISM' IN A BACKWARD COUNTRY?

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Abstract

Despite being criticized for its inconsistencies, China's mercantilism is considered a commonplace in the literature focused on Chinese economic development. This paper intends to criticize the foundations of China's 'monetary' and 'financial' mercantilism arguing that both provide only a feeble explanation of its economic success. In particular, rather than echoing the practices of classical mercantilism, such supposed 'mercantilist' approach, on the contrary. Reflects the Gerschenkronian model of development, according to which the growth of the 'backward' countries is based massively on banks and State support.

Keywords: "Mercantilism", China, economic developement

Chinese style mercantilism' and the dispute with the United States

It is frequently assumed that China applies mercantilist policies, especially in the monetary and financial sectors. This assumption seems to be supported by specific behaviours that China has adopted with varying degrees of intensity in the most recent phase of its reform era. Examples of these lines of conduct are the exchange rate policy, the control of capital flows, and certain forms of protection of the internal market which, anyway, have been diminishing in the last decade. Some of them, for instance as regards exchange rate and intellectual property, have been the object of a bitter dispute with the US and, to a lesser extent, the EU for a long time. The exchange rate issue, in particular, is extremely complex and multifaceted if one considers that it can represent a discriminating factor which may favour domestic production, or, on the contrary, it can prove irrelevant for the competitiveness of the Chinese system depending on the variables used to estimate the actual competitiveness differential.

If some analysts are cautious about pointing the finger at the pegging of the Chinese currency[4], the vast majority of US politicians and trade unions are not like minded. Since the beginning of the Obama administration the concerned constituencies have been increasingly criticizing China, albeit with various types of arguments.

Pressures aiming at convincing China to modify its exchange rate policy to let the US manufacturing sector catch up with China on international markets typically characterise China-US relations and are consistently exerted both bilaterally (Strategic & Economic Dialogue, Joint Commission on Commerce and Trade) and multilaterally (WTO, G 20, APEC Forum). The exchange rate dispute has been lively and has involved the highest levels of the US government. Congress members have repeatedly asked the Department of the Treasury to declare China a currency manipulator. The Treasury had already proceeded in this way back in 1992 and in 1994, when China was not subject to international restrictions and would resort

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[4] C. Fred Bergsten, President of the *Peterson Institute of International Economics,* called the Chinese exchange rate policy '*a blatant form of protectionism*' because it subsidizes imports by roughly il 20-40% of their value. This amounts to an indirect tariff on imports (Hot topics, The Chinese Exchange Rate, Essential Reading from the Institute, http://www.iie.com/research/topics/hottopic.cfm?HotTopicID=3).

to discriminatory practices not limited to its currency. Despite this fact, though, currently the US government is apparently not inclined to formalize the accusation of mercantilism and seems to be more willing to express its stance verbally in relevant international fora. It can be safely assumed that even if Members of Congress of both sides are tenaciously determined to accuse China of being a currency manipulator, the Administration does not wish to formally initiate a dispute with a world economic leader. Thus, in the past few years the Congress has kept opposing the exchange rate policy by enacting a series of provisions aimed at justifying the compatibility of possible retaliatory actions with WTO and IMF norms, while the Government has been operating at institutional level, especially within the G20 framework, and in economic organizations.

During the G20 meeting of Finance Ministers which took place in October 2010, US Treasury Secretary Geithner presented a plan defining quantitative targets for external deficits and surpluses. The plan, which was rejected by China and other emerging countries, was aimed at reducing international financial imbalances. During the APEC meeting which took place in Honolulu in November 2011, Obama forcefully defended the US point of view on exchange rate and the respect of the rules that regulate intellectual property rights, and also during his second term he has been showing no intention of toning down the dispute with China. On the contrary, on several public occasions, Obama has repeatedly rejected Mitt Romney's accusations of having an exceedingly remissive approach to China's 'defensive' policies[5]. Even if the US has been proceeding cautiously so far, the Obama Administration has launched several appeals against China to the WTO concerning import duties and other defensive norms affecting US steel and poultry exports. Similarly, it has firmly protested against the imposition of tariffs on American-made vehicles.

It should nevertheless be acknowledged that aside from domestic political motivations, US criticism is based on objective factors. One of these factors is certainly represented by the ambiguous behaviour of Chinese leaders, who keep maintaining that the exchange rate only plays an irrelevant role in the China-US imbalance and consider the 2005 reform a signal of collaboration. At the same time, though, there is evidence that following the outburst of the economic crisis they have been manoeuvring the external value of their currency to influence China's domestic demand in contrast with their alleged exchange rate neutrality. As a matter of fact, the Chinese currency started resuming its appreciation in mid-2005 by over 20%[6], stopped in May 2008 as a consequence of the crisis and resumed its rise, albeit imperceptibly, starting from mid-2010. Anyway, such criticisms appear to be disputable. In fact, since the last quarter of 2010 the Chinese currency resumed its appreciation so that - since July 2005 to the end of 2013 - the increases were, in terms of the real and the nominal exchange rate, 24% and 34% respectively.

Nevertheless, the two countries managed the exchange rate controversy by applying an appeasement policy during the fourth U.S. China Strategic and Economic Dialogue meeting (3th-4th May 2012), where China and the US committed to introduce 'as quickly as possible' a more flexible, market-based exchange mechanism. Such mechanism would also reflect in a clearer way the fundamentals of the two economies and would make it possible to avoid frequent misalignments between the two currencies, without favouring anti-competitive policies at the same time[7]. This commitment, which is rather general and does not mention any time clause, curiously puts on the same level the 'damaged' party and the 'manipulator', i.e. China, even if it should address only the latter (Morrison and Labonte, 2013). The Chinese reply to this commitment is emblematically summarized in the words of an anonymous Chinese officer who pointed to the fact that it would be rather difficult to proceed to the immediate appreciation of the renminbi in a country where 40 billion people live on less than

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[5] http://www.reuters.com/article/2012/07/05/us-usa-campaign-obama-idUSBRE8640WM20120705
[6] http://www.chinability.com/Rmb.htm
[7] http://www.treasury.gov/press-center/press-releases/Pages/tg1567.aspx

one dollar a day (Xinhua News Agency, 1st December 2009). The same source reports that also former premier Wen Jabao expressed a negative opinion pointing the finger at 'those countries' that accuse China of manipulating the exchange rate and of carrying out unfair trade practices, while at the same time they are flooding the global economy with liquidity and are putting China at risk of overheating (Morrison and Labonte, 2013). Aside from the heated debate and the identity of the parties involved, it should nevertheless be noted that the controversy between China and the US does not address the real problem, namely the fact that the market-based mechanisms used by the Chinese system in its own interest are not being applied in relevant fields, such as that of economic governance, the protection of property rights, and the independence of the bodies that control and regulate the economy. This is de facto an 'alternative' system which plays by rules that are not completely compatible with the market rules of those countries, primarily the US, that have been promoting the liberalization of international economic relations.

At the same time, though, it would be misleading to affirm that the US, and Europe as well, are not aware of competing with a player that avails itself of anomalous financial tools and that, in general, pursues the main goal of promoting first and foremost its internal objectives. Therefore, the Western world is aware that the real problem does not lie in contrasting China's stubborn defence of a certain exchange rate or in applying 'defensive' tariffs and healthcare administrative norms, but rather that the world's second largest industrial manufacturer is not willing to grant non-Chinese, potentially dangerous subjects relevant market shares.

As far as the accusation of 'mercantilism' is concerned, it should then be observed that the term does not give an accurate account of the overall Chinese strategy, since it addresses only its commercial aspects. It is possible to formulate a less 'emotional' judgement adopting a methodological premise based on the following points: 1) 'mercantilist' practices are banned by international agreements and the damaged countries are allowed to sanction them with prior authorisation by supra-national organisms. This 'philosophy' underlies the convergence process towards a liberalized free trade regime and contributes to the creation of a multilateral Free Trade Agreement (FTA) system complying with Uruguay Round rules; 2) calling a nation 'mercantilist' implies using a very general term which makes it difficult to determine the true nature of practices that oppose the principles of free trade. Therefore, the term is typically imprecisely used only to refer to the trade sector, whereas in the current globalization and financialization phase 'mercantilist' behaviours go well beyond the boundaries of the real economy and involve both monetary and financial aspects; 3) during the last decade, FTAs have been multiplying and have been re-configuring international trade relations bilaterally to bypass the blocks resulting from the Doha Round negotiations. The Asian area has been extremely active in this process, and China in particular has been concluding several agreements with ASEAN and Pacific area countries in order to create a large free trade area that can compete with other relevant areas worldwide.

As far as exports are concerned, in 2012 China was ranked second after the EU-27 and before the US with 11.0%; concerning imports, China was in second position (third considering intra-EU data[8]) after the US with 10.0%. Therefore, in addition to being an international trade leading player, China has a balance of trade that is anything but asymmetric and is therefore far from the mercantilist model.

Moreover, the accusation of 'mercantilism' can be dismissed by taking into account other qualitative factors discussed in the literature, with due consideration for differences between them. First of all, in China the manufacturing sector is characterized by a strong non-national component represented by enterprises, including multinational ones that have partially or completely decentralized their production. Such structure is the result of both a

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[8] http://www.wto.org/english/res_e/statis_e/its2011_e/its11_world_trade_dev_e.pdf

successful policy of stimulus of direct investments, especially after joining the WTO, and of international production restructuring processes based on global 'production chains' favored by the globalisation of markets and by innovations in the information technology sector[9]. The export trade processing phenomenon, which involves mainly multinational enterprises from Japan, Taiwan, the US and Europe, is reflected in the relatively modest share of the 'Chinese' added value on the total value of each exported manufactured unit. Depending on the methodology adopted, the share of 'external' added value for exported manufactured goods in 2007 (the final year of the decade in which this value was calculated) oscillated between 27% and 40.3%. Of course, foreign-invested enterprises and joint ventures had the highest values[10].

With a strong motivation to pursue know-how learning strategies, China is inevitably facing the necessity of reconsidering the specialization model of its exports by adopting two lines of conduct: first of all by diminishing its dependency on external production chains, and then by transitioning from medium/low quality to high quality manufacturing characterized by a higher degree of technological innovation and by a higher added value. According to a Natixis report (Natixis, 2013), from 1997 to 2007 China surpassed the most advanced areas in the world and held the greatest market share in high quality sectors such as aeronautics and space, medical equipment, precision optics, computer equipment, etc., while it lagged behind in the manufacturing of medium quality products such as vehicles, electric and electromechanical materials, machine tools, etc. and it lagged even further behind in low quality sectors such as textiles, food, wood constructions.[11] It is also plausible that in perspective the products that entail innovation advancement and an increase in added value will be manufactured on site, thus reducing the import value embedded in exports and moving part of the manufacturing process away from the Chinese coast to less congested areas located in other Asian countries where the cost of labour is also lower. This would lead to a completely new scenario where China might find itself competing with new emerging countries while it is reducing its dependency on foreign countries and is proceeding to an upgrade in the qualification of its products and processes. China's 'mercantilism' may be further questioned if we take into account one of the fundamental elements of its international positioning, namely its 'dependency' on the import of both energy and non-energy raw materials that are fundamental for its production processes. Unlike colonial powers, which exerted tight control over the supply markets, China competes in these markets, and this fact further demonstrates that the country cannot be accused of employing mercantilist practices. As a matter of fact, the need to compete lies at the basis of the international protagonism of both the policy maker and of big national enterprises, and serves the goal of granting China preferential conditions and stability in the supply of raw materials and industrial agricultural products, especially those provided by 'sensitive' African and Latin American areas. Thus, it is evident that the role played by China in the global geo-economic scenario is extremely different from the role played by European colonial countries, which was at the basis of their trade expansion. Similarly, its growing 'political' attention to geographical areas that are rich

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[9] See the section 1. *Supply Chains and Production Networks* of the work edited by Baldwin, R., Masahiro Kawai and Ganeshan Wignaraja (2013).

[10] In particular, wholly foreign owned enterprises, which accounted for 38.1% of total exports, generated a 'local' added value amounting to 44.1% of their exports value, with processing (i.e. incorporated imported goods) accounting for 83% of that value. Joint ventures provided a greater share of local added value with 17.7% of national exports, while both public and private enterprises went into the opposite direction. State-owned enterprises accounted for 19% of national exports, and generated an added value of about 72.1% of sectorial exports, while processing amounted to 25.8%. Private enterprises, which represented the real 'new entry' among exporting enterprises in the 2000s, accounted for 21.3%, 80.8% and 9.6% respectively (see Koopman *et al.*, 2008).

[11] In particular, in the high quality sector, China went from 21.2% to 33%, the Eurozone from 17.7% to 18.8%, Japan from 30.8% to 23.1%, and Korea from 28% to 32.9% over the decade considered. China still held the greatest share in the low quality sector with 21.2%, while Japan held 2.1%, Korea held 4.9% and the Eurozone held 15.4%.

in raw materials cannot be assimilated to the hegemony exerted by European powers in the past.

It should also be acknowledged that the Chinese system, which generates one of the largest trade volumes in the world, showed its weakness during the recent global crisis. The stall of Chinese exports (the current account balance/GDP ratio dropped from a mean value of 9.9% in 2004-2006 to a meagre 2.2% in 2011-2013) hints at the vulnerability of the foreign component of its global demand. This component is strongly affected by the international demand trend and by the economic policies carried out in the rest of the world with particular reference to the US, which have the 'privilege' of governing the international monetary system (Hang Seng Bank, 2012; BOFIT, 2013).

If, on one hand, there is no evidence supporting the accusation of mercantilism or 'neo-mercantilism', on the other hand China is still showing conspicuous residues of protectionism, as shown in the 2010 OECD Survey, where China's comparative position is not satisfying according to the PMR (Product Market Regulation) indicator of barriers to trade and investment (OECD, 2010). As a matter of fact, even if the average tariffs on Chinese manufactured products are lower than those of other emerging countries, Chinese values still lag behind those of the US and the average values of OECD and Eurozone countries (but not those of Russia). Moreover, it should be noted that in spite of progress towards greater 'neutrality' in trade, there is a 'grey area' hampering the international economic integration of China. This 'grey area' is represented by a series of both formal and informal measures which are still in place and have the twofold function of protecting certain sectors by allowing them to expand their dimensions and market power in the national economy, and of granting a few big enterprises the status of international competitors.

In this regard, the OECD report states that as far as the service sector and the utilities network (telecommunications, electricity, and energy chain) are concerned, liberalization practices are insufficient since these sectors are still controlled by big State-owned enterprises which de facto prevent both private and foreign enterprises from accessing them[12].

Monetary and financial mercantilism and the 'backward' problem

The arguments provided so far seem to confirm that Chinese protectionism is pursuing trade expansion for its own sake. Rather than following the classical mercantilist model, though, in so doing it is pursuing the strategic objectives of promoting and safeguarding its national 'champions' by expanding their presence on international markets, with specific reference, but not limited to, those of raw and energy materials. The available data, albeit incomplete, are revealing. Big State-owned enterprises dominate in strategic sectors[13] and are largely represented in 'pillar' sectors by subsidiaries (Table 1). On a large scale, and with the

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[12] The progress made by the Chinese government in the liberalization of the domestic service market and of some 'sensitive' sectors dominated by national enterprises are both significant and contradictory at the same time. In 2005, the State Council issued 'guidelines' to encourage the development of private enterprises and to open to private competition the sectors dominated or completely controlled by State-owned enterprises. Five years later, China substituted the 1993 law with a new anti-monopoly law inspired by more advanced countries, which, at least formally, introduced measures against the most widespread monopolistic practices. In contrast with that, the occupation of strategic sectors ('pillars') by State-owned enterprises made it difficult to create a real competition, since numerous formal and informal barriers remained in place to preserve State control. The 2010 OECD report (OECD, 2010) correctly identifies the unsatisfactory implementation of the law and the lack of a favourable environment as the causes of the delay. The report focuses in particular on the lack of independent organisms, the presence of too many inspectors and the fact that vigilance was entrusted to governmental organisms, in particular to MOFCOM and to the National Development and Reform Commission (NDRC) (*China: China's Anti-Monopoly Law: Retrospect and Prospect on the Fourth Anniversary*, http://www.mondaq.com/x/189714/Cartels+Monopolies/Chinas+AntiMonopoly+Law+Retrospect+and+Prospect+on+the+Fourth+Anniversary)

[13] Szamosszegi and Kyle (Szamosszegi and Kyle, 2011) make an attempt to assess the weight of these sectors in the national economy.

necessary changes, China's conditions resemble those described by Geschenkron about the 'late' development of backward countries.

Tab. 1 Market share of State-owned enterprises in *strategic* and *pillar* sectors
(2010, % of respective sector)

Strategic sectors	(a)	(b)	*Pillar* sectors	(a)	(b)
Defense oriented		n.a.	Automotive	74.0	n.a.
Coal industry	12.9	59.2	Steel industry	17.6	n.a.
Air transportation	76.2	n.a.	Construction	7,2	20.1
Power sector	70.6	91.6	Non-ferrous metals industry	19.5	n.a.
Petroleum and			Machinery and equipment	21.0	n.a.
petrochemical industry	45.3	76.6	IT, science and technology	9.0	n.a.
Shipping industry	60.7	n.a.	Banking sector	72.7	n.a.
Telecommunications	96.2	n.a.			

n.a. : not available
(a) Market share of 'top' State-owned enterprises of the sectorial total
(b) Market share of State-owned enterprises of the sectorial total
* Data of 'pillar' sectors are not comparable: for automotive and steel sectors data correspond to physical production, for machinery and IT to gross nominal product and for banking sector to totale assets.
Authors' calculations from SZAMOSSZEGI and KYLE (2011).

In particular, the following similarities can be identified: 1) technologies that are already available in the developed countries are quickly transferred to local enterprises which, in turn, act as innovation pioneers in an otherwise backward environment; 2) the fast development process of the industrial sector is partially autonomous, unlike the slower process of the agricultural sector; 3) the banking system plays a primary role in the accumulation of the private sector; 4) the State acts as an irreplaceable engine of development which steers and controls the economy of the country[14].

Even if the Chinese situation does not completely overlap with that described by Gerschenkron owing to contextual differences, his model can still be used as an interpretative tool to put China's development in historical perspective. The Chinese model, in fact, is characterized by the presence of several small and very small enterprises, which are mainly found in traditional sectors. Moreover, innovation processes in China do not call for great capital assets, which, on the contrary, had been necessary for the industrialization process in continental Europe. Anyway, assuming that Gerschenkron's interpretation is correct, the development strategies deployed by China in its modernization phase should not be seen as symptoms of a mercantilist revival, but rather as signs of transition from a development model based on foreign capital and technology to a more autonomous and 'national' management of production processes aimed at strengthening the overall competitiveness of the system. In such a context, a late runner can catch up effectively only by granting more space to the State and to public enterprises (Jang-Sup Shin, 2002). If we analyze the development of some newly industrialized Asian countries, as well as that of Japan, we can see that from a historical point of view they differ perceptibly from Europe, and that they also differ among themselves. In particular, it is possible to find differences between the substituting strategy pursued by Japan and Korea and the complementary strategy pursued by Taiwan and Singapore. In the substituting strategy, banks (in the case of Korea also foreign funding) play a more incisive role in the catching up process. In this strategy, the State progressively acts as a regulator and

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[14] In his fundamental work (Gerschenkron, 1962) Gerschenkron analyzes the economic history of Europe and Russia and identifies the following characteristics for the development of 'backward' countries: 1) faster growth than 'forerunners' like Great Britain; 2) investment in fixed assets prevailing over consumption; 3) growth progressing intermittently rather than gradually; 4) creation of large scale plants and firms and greater emphasis on up-to-date technology from advanced countries; 5) a more active role for banks and State as economic players stimulating fixed investments.

big national enterprises become a major player both in internal and in international markets. The complementary strategy is characterized by the greater role played by direct investments, by partnerships between multinational enterprises, and by the State acting as a co-protagonist in the creation of an autonomous national sector. For the time being, China's position is eclectic since it adopts a combination of the two approaches, but there are signs that it might move from a complementary to a substituting strategy (Jang-Sup Shin, 2002).

Before we set aside the accusation of 'commercial mercantilism', though, we should focus on the even more controversial issue of 'monetary and financial mercantilism', which China is allegedly practicing to a great extent. Anyway, also in this case it would be too far-fetched to claim that China is applying purely mercantilist policies in this sector. As far as monetary mercantilism is concerned, according to this simplistic interpretation the exchange rate control (i.e. the 'manipulation') would represent an indirect form of protectionism, i.e. an 'opportunistic' policy aimed at promoting exports by taking advantage of the opening up of markets and by hampering imports through the artificial alteration of prices at the same time. Financial mercantilism, then, would entail credit dirigisme aimed at supporting export sectors, and would thus correspond more closely to the traditional definition of mercantilism. In the case of China, though, it is not easy to distinguish between the various types of mercantilism, and monetary and financial mercantilism can be related to a comprehensive strategy strongly affected by the development policies described by Gerschenkron about 'backwardness'. In particular, in the Chinese modernization phase the exchange rate policy should be seen as a part of a more comprehensive strategy which, despite being functionally connected with the foreign component of the aggregate demand, still uses the control of credit flows to promote development. As a matter of fact, credit obtained through the control of State banks has always represented the main way to promote, partially reform and strengthen the most productive and strategic State-owned enterprises. On the contrary, exchange rate liberalization and its effects on consumption would have exposed the system to problematic fluctuations in the foreign component of the demand and would have caused regular flows to bank deposits to decrease. Thus, even if capital controls had been kept in place, it would have been difficult to stabilize wages by decreasing consumption and by safeguarding at the same time the 'savings-deposits-financing of State-owned enterprises' cycle, which serves both 'command' policy and internal development purposes. Fundamentally, calling exchange rate control 'monetary mercantilism' and, what is even more far-fetched, referring to the financing of exporting enterprises as 'financial mercantilism' leads to a simplistic representation which does not account for the fundamental characteristics of the Chinese development model.[15] Exchange rate control in fact, exerted only surreptitiously a 'mercantilist' function and should rather be described as one of the elements of a more comprehensive policy that used credit to finance the gradual transformation of the collectivist productive apparatus.

It should also be noted that the creation of the mighty Chinese manufacturing sector, which has made the country the biggest exporting economy in the world, was founded on the stimulus of direct foreign investment and on the ensuing import of technologies rather than on the financing of exporting enterprises. With the catching up process still pending and with the contradictions that typically characterize the backward countries in general, China is now at a crossroads: it has to decide whether it should leave behind the heavy residues of 'command 'economy, which in its renewed version corresponds to an original and more effective form of 'State capitalism', or whether it should reconfirm the status quo adapting it to the new global scenarios. The first option would call for the following actions: 1) opening up the economy to free capital movements and to international banks, 2) allowing competition in protected sectors, 3) giving up credit policy as a way to indirectly support State investments and

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[15] Scepticism on the 'monetary mercantilism' hypothesis in favour of some kind of 'financial mercantilism' is expressed by Aizenman and Lee (2008); for a critical view on 'monetary' and 'financial' mercantilism of China see Subramanian (2011).

enterprises, 4) liberalizing the exchange rate. These actions would entail a radical transformation of the modus operandi of several generations of policy makers who have been gradually and hesitantly putting into practice the reforms started by Deng Xiao Ping.

According to the mercantilist hypothesis, the Chinese policy maker would see the accumulation of reserves as an objective in itself and would use current account surpluses to build a 'treasure' that is still mainly dollar-denominated[16]. Indeed, the accumulation of wealth through foreign trade is a typical, albeit controversial, characteristic of classical mercantilism[17], but it should also be noted that the geo-economic and geo-political international context has undergone profound changes and that it is extremely different both from the context of the golden age of mercantilism and from the situation at the end of the XIX century, when the US emerged as an economic power threatening the hegemony of rival countries, especially Great Britain. The accumulation of wealth in the form of reserves served the purpose of reaching a high accumulation rate, which was mainly financed by the banking sector. The accumulation process demanded that the credit market be 'protected' from foreign competition and that savings from families and enterprises be conveyed in that direction. Since it was produced in a backward country, accumulation was protected from the stress which it typically undergoes in countries that are open to capital movements, and had to catch up with production efficiency levels that were higher than those characterising the former socialist plan. To reach this goal without exposing the system to destabilizing repercussions it was decided to choose a model that was open to direct investment and that, at the same time, did not expose the system to the dangerous volatility of capital movements. The latter was responsible both for the crisis of Asian countries in 1997 and for the crises of other emerging economies in the 1990s. The financial compensation of this strategy consists in the accumulation of foreign reserve assets, which are also a sign of the presence of a capital account that is capable of granting a stable development. This goal is achieved by attracting physical capital assets from abroad on one hand, and by investing in international liquidity on the other. In so doing, the capital account neutralizes all possible threats coming from international financial flows.

One final objection remains to be addressed. It is clear that the relative financial isolation of the country served the purpose of financing investments, especially concerning State-owned enterprises. Nevertheless, it is not equally easy to interpret the heavy decline in consumption which took place over the first decade of 2000s and which was aimed at 'financing exports'. The interpretation is further complicated by the fact that the supply of foreign fixed capital enabled China to increase its capital stock, with particular reference to its most innovative component, without recurring to internal savings. It could be objected that a less rigid consumption policy would have made the country dangerously dependent on imports, thus compromising both its wage stabilization and its savings rate policies, and forcing China to choose an exchange rate that would grant stability to its development process. Nevertheless, the strong outward projection of the Chinese economy and the defence of some of its protectionist practices primarily involving exchange rate control are a consequence of the need to safeguard 'national champions', who were deemed worthy of special protection, and of the decentralization strategy deployed by multinational enterprises, who moved their production to China. These enterprises saw China as a 'low cost factory' in order to compete in the world markets.

Finally, defining the accumulation of reserves as a mercantilist measure implies overlooking the fact that their growth has posed a relevant monetary policy management problem rather than representing a strategic objective. As a matter of fact, reserves acted as an

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[16] In mid 2011, Chinese dollar-denominated foreign reserves were equivalent to around 54% of the whole amount after reaching 65% in 2010 (Orlik and Davis, 2012).

[17] Schumpeter wrote engaging pages on the 'automatic mechanism', namely the connection between the 'balance of trade' and the accumulation of precious metals (Schumpeter, 1996).

almost exclusive channel for the creation of the monetary base, thus forcing the Central Bank to intervene in order to neutralize their potential inflationary effects. In particular, the Central Bank intervened by manoeuvring the legal reserves of banks. Paradoxically, the increasing penetration of the Chinese economy in foreign markets could have determined a monetary vulnus which, in turn, would have reduced its momentum through the increase of internal prices. Furthermore, if there is little doubt that reserves represent a resource for investments in foreign markets, in particular in those where China is now the biggest buyer of raw materials, the country's 'passive' financial strategies in those same markets deprive it of the financial connections which have characterized the development of some advanced countries. At the same time, though, these 'passive' strategies grant China the ability to strongly influence global balances and to strengthen its spending capacity in the markets of emerging and developing countries (Meyer, 2014).

Finally, it should be remembered that if China adopted alternative strategies for the management of its reserves, unpredictable consequences would be felt by the international monetary system. These consequences, in turn, would have repercussions on the China's development itself. This scenario is radically different from the situation at the beginning of the XIX century, when the British, who were true mercantilists, introduced Indian opium into China causing the inversion of its balance of payments and a halt in the accumulation of its silver reserves[18].

Is the Chinese model in danger?

The financial crisis has shown that the Chinese development model is not 'mercantilist' in nature, and it has also highlighted weaknesses and contradictions in the economic dirigisme. Unlike classical mercantilism, the dirigisme has pursued its credit-based, internal accumulation policy (i.e. the 'financial way to development') with perseverance on the background of the global contraction of demand. Indeed, the severity and duration of the crisis have strained China's ability to compensate export contraction with greater investments in infrastructures and in the construction industry, and to rapidly find alternative policies to 'restructure' the global demand and promote consumption and social spending. In this context, the need to face the contraction of foreign demand with a view to granting continued development and an acceptable level of social stability and the need to keep inflation under control and to prevent bubbles from busting in the housing sector went hand in hand. Chinese leaders had to face these challenges at a time when important market and welfare reforms had not yet been made.

Credit, as usual, was used as an anticyclical policy to prevent development from coming to an abrupt halt, while direct control of banks was massively activated also to curb the inflationary consequences of expansionist policies. The repeated interventions in legal reserves and bank interests (Fig.1), together with the revision of quantitative restrictions on loans introduced at the beginning of 2007, show that the policy makers were both quite worried by the new scenarios[19] and extremely loyal to the interventionist model.

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[18] These events are vividly described by Ferguson (2004) in the Chapter 'Heaven Breed' of his volume.

[19] In 2007-2011, direct interventions to regulate credit have been speeding up. They had the double aim of stimulating the demand and, at the same time, of preventing inflation from jeopardizing the real growth. In 2010-2011 the central bank (PBOC) lifted several times the legal reserve of banks and revised upwards the 'benchmark' interest rate on loans and deposits, including the interest rate on mortgage loans, in order to curb the inflation (Lardy, 2012).

Fig.1 Interest rates and legal reserves of banks
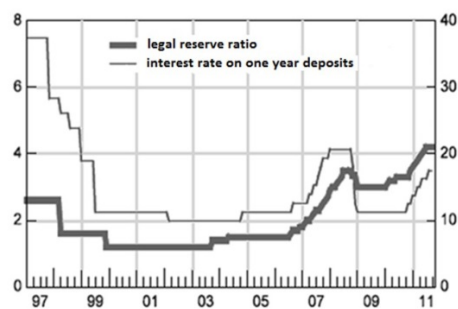
Source: Guonan Ma and Yan Xiandong, Liu Xi (2011).

When the crisis peaked and foreign demand started to contract, the policy makers resorted to the mighty 'machine' of bank-financed accumulation. From 2007 to 2011 the growth rate of gross fixed investments remained high and peaked in 2009 with 30.5%. It then contracted in the following years, but this did not invert the trend started in 2002 (Fig.2). Also bank loans remained high, thus confirming that despite an increase in direct public financial interventions, banks provided the biggest support both to internal demand and to capital accumulation. According to some analysts, 'compensatory' measures against the contraction of net exports (which, starting from mid 2009, have had a negative impact on GDP) have only exacerbated overinvestment and the saturation of the country's production capacity. This, in turn, impacted negatively on the banks' budgets and jeopardized the results of the rebalancing operations carried out at the end of the 1990s and in the following decade (Pettis, 2012). Bank-financed accumulation supported development by intensifying internal imbalances, i.e. by decreasing consumption and by keeping to a minimum the redistribution of profits made by State and local enterprises. This led to an increase in households and families' savings, which are needed by banks to support investments[20]. Ultimately, during the crisis the review of spending decisions (which had been repeatedly announced by Chinese leaders and strongly encouraged by international organizations) has been managed with great caution and has thus failed to spark the change in development also referred to in the XII five-year plan (2011-2015).

Fig.2 Bank loans and gross fixed investments
(Yoy rate of growth)
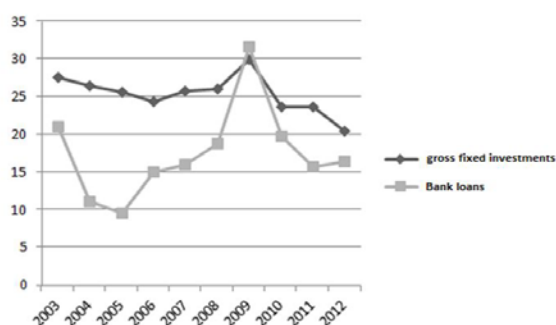
Source: Hang Seng Bank (2012), China Economic Monitor, October;
National Bureau of Statistical of China (graph edited by the authors)

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[20] In Lardy's opinion, the fixing of bank interest rates worked as a powerful tool contributing to keep the consumption of households low. In the first half of 2004-2011 the administrative control of interest rates on deposits and its implicit tax on depositors enabled banks to maintain positive margins and to stabilize the cost of loans to firms. Moreover, by massively manoeuvring the legal reserve rather than by selling government bonds to banks, it was possible to make banks friendlier towards firms, the State-owned ones in particular. Being deposits important for Chinese households, this policy is likely to produce a not negligible 'wealth effect' which might affect their propensity to consume (Lardy, 2012).

Only in 2009 did consumption increase as a consequence both of stimulating measures adopted to promote the purchase of durable goods and of other factors that are difficult to measure (Lardy, 2008). The core component of the manoeuvre, instead, addressed mainly housing and infrastructural investments, thus deviating from the traditional (mainly State-driven) accumulation plan. Rather than being the result of a long term strategy, this was an emergency-driven choice. Certainly, government spending has been increasingly supporting demand[21], but it has not backed social spending and business support measures. Moreover, it has not prevented credit from being consistently and massively used to support the demand sectors that have compensated the decrease in exports, such as infrastructures (many of which were hardly useful). Finally, jobs loss in export sectors has not been compensated by new employment opportunities in the housing and infrastructures sectors.

To conclude, the Chinese economy is facing two scenarios. The first one is characterized by the following contradictory factors: 1) overinvestment (together with an increase in productive capacity), which, in the long run, might experience a decrease in its own profitability, 2) a structural excess of savings, which decreases consumption and intensifies internal imbalances, 3) accumulation of reserves, which is increasingly making control of the money supply difficult and is conflicting with the goal of keeping interest rates low, 4) an oversized State banking sector which, nevertheless, still manages to promote the extraordinary development of the country, 5) severe environmental and energetic problems (which were not addressed in this paper). These contradictions may hamper the economic growth of China and may have unforeseeable repercussions on global demand. They may even generate a situation similar to that of Japan, where the financial crisis started at the beginning of the 1990s (Koo, 2008).

In the second scenario, these contradictions may prove less problematic than expected for several reasons (including non-strictly economic ones), and thus may not cause the system to collapse (Iannini, 2009). The strong role played by the State in the economy and the greater chance of being protected from external shocks increase the 'endurance' of an imbalanced model, thus making it sustainable. Finally, from a systemic point of view China is a 'backward' country, and as such it has intrinsic strengths that may foster its growth to a great extent. In both scenarios, the future of China as an 'emerged' and potentially 'dominating' country represents an issue that is at the same time intellectually challenging and politically and economically momentous.

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[21] Since 2009 government spending/Pil ratio has been exceeding the 20% threshold maintained in the first decade of 2000s (24% in 2012), although this figure is likely to be underrated since it does not take into account local governments' debts.   It is worth considering that, since early 2010, the drive of State investments has been fading and contracting (beyond -10% in 2011), although it was compensated by private investment. However, because of their seasonal fluctuations, private investments are not a persuasive alternative to State interventions. For this reason at the beginning of 2012 a curtailment of private investments was counterbalanced by an increase in public consumption (IMF.2012).

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THE ROLE OF CORE COMPETENCIES ON ORGANIZATIONAL PERFORMANCE: AN EMPIRICAL STUDY IN THE IRAQI PRIVATE BANKING SECTOR

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Abstract

This paper discusses the impact of core competences on organizational performance as a critical issue in Iraqi private banking sector. An organizer questionnaire was developed and self-reported to managers in 10 private banks, a sample of this study are 200 managers in these banks. The hypothesis to test variables of the study was absorbed in a questionnaire with Cronbach's alpha coefficient of 75% and was prepared based on a number of measures related to the subject of study. A range of methods were used to analyses statistical data, and the results were extracted using SPSS. The result shows that there is a significant correlation among core competences and organizational performance. Based on this, we recommend that bank management develop of the core competences for human resource as a strategic tool to enhance organizational performance and expand their empirical knowledge in the context of private banks in Iraq.

Keywords: Core competences, Organizational performance, Bank.

Introduction

Today's environment challenges have imposed on the improvements organizations not only for competition, but in order to keep going and stay in the market. Numerous researchers agree that higher in performance is a product of the process of formulating a strategy through which the organization seeks to achieve its mission and objectives in the long term for the purpose of obtaining organizational performance. Due to this regard, the successful performance also depends on the existence of the skills and capabilities of each individual organization, suggesting that an appropriate and use of information technology by the organization may be essential in promoting organizational performance (Bharadwaj, 2000; Ray, Muhanna, and Barney, 2005).

Core competence is thought play an important role in the process of creating synergy between the strategic business units. Therefore, the experimental results of the core competence are to obtain confirms the superiority of competitive performance (Besle and Sezerel, 2012). The organizational performances defined is a final result of a work include many factors like: communication, job processes, team, interaction, corporate culture, commitment, climate for innovation, satisfaction, loyalty and business environment (Lia, et al., 2006).

Nowadays, banking sector has gain large importance, especially when compared with other sectors. Because of the diversity and multiplicity of services provided to the public and its contribution to the economic growth of the country. According to report of Central Bank of Iraq (CBI), 2012), there are 23 private banks licensed to work in Iraq. The private banks of

this study are includes Baghdad Bank, Commercial Bank of Iraq, Iraqi Middle East Investment, Investment Bank of Iraq, United Bank for Investment, Dar es Salaam Investment Bank, Mosul Bank for Development & Investment, Babylon Bank, Basrah International Bank for Investment and National Bank of Iraq. Therefore, this study aims to specific the impact role of core competences on organizational performance in Iraqi private banking sector. Empirical studies on the role of core competences and impact of performance in Iraqi private banking sector is still limited, and a gap exists in the Arab studies in this area.

Literature review
Organizational performance

Performance is a continuous and flexible process that involves managers and those whom they manage acting as partners within a framework that sets out how they can best work together to achieve the required results (Armstrong, 2006). The differences in views were mostly upon variations in the criteria and standards adopted in studying the performance, but in spite of these variations, most of the researchers express the performance through the extent of success in which the organization reaches its aims. Despite of the organizational performance includes many specific fields of the organization's results, but each of the (Richard, et al., 2009; Zhang, et al., 2008; Nwokah, 2008) they focused only on two basic dimensions to measure organizational performance are growth and profitability.

The Balanced Scorecard is considered one of the leading instrument in the field of organizational performance as metrics include both financial and non-financial, which can reveal the results of the actions already taken in the organization (Kaplan and Norton, 1992). Kaplan and Norton (1992) presented first the Balanced Scorecard, is a performance management instrument which has been in use for more than a decade. Balanced Scorecard is a basic performance measurement approach which focuses on the internal as well as external performance indicators of the organization. Therefore, the Balanced Scorecard is an important tool for monitoring organizational strategic goals and the feasibility of achieving these goals (Huang, 2009; Kaplan and Norton, 1996).

According to (Horgren, et al., 2000) Financial Perspective reflects financial goals through the organization's ability to achieve the satisfaction of shareholders and stakeholders by achieving satisfactory rates of return for their investment. Where researches has found that many of the traditional financial accounting measures such as return on investment, earnings per share, and return on assets yield limited results with respect to continuous improvement and innovation (Huang, 2009; Kaplan and Norton, 1992).

Ehlers and Lazenby (2004) stated, the value of the customer perspective may never be underestimated. Niven (2006) confirmed, the customer perspective approaching it in three value indicators, operational excellence, product leadership, and customer intimacy. Plewa et al. (2012) pointed out that the measures of the internal business performance allow managers to specific determine how to run the organization. Thus, organizations' must try to identify and measure their core jobs competencies and critical technologies and decide that of those will lead them to excellence in the market (Kaplan and Norton, 1992; 1996).

According to Kaplan and Norton (1996) Competitive business environment needs to continuous learning, so the learning and growth perspective focuses on the intangible aspects of organizational performance. In light of the threats and new opportunities that arise through the changing environment. Hence, organizational innovation integrates the development and application new ideas, products, technology and information systems (Hung, Lien, Yang, Wu and Kuo, 2011). In view of the above differences in the views of the researchers, this is called for the researcher to adopt a more comprehensive measure includes financial metrics and non-financial so chose researcher on a scale of (Kaplan and Norton, 1992).

Core Competence

Developed the main ideas of the core competences by the (Prahald and Hamel) through a series of articles in the Harvard University and followed it for the ability book. The basic ideas is that organizations could develop areas of expertise are clear and important to the long-term growth. In this study, core competence is thought play an important role in the process of creating synergy between the strategic business units. Therefore, the experimental results of the core competence are to obtain confirms the superiority of competitive performance (Besle and Sezerel, 2012).

As well as the turn (Harrison and John, 1998; Macmillan and Tompo; 2000; Johnson and Scholes,1997; Hamel and Heene, 1994; Hitt, et al., 2001) they are describe the core competencies as a specialized skills, qualities and characteristics of knowledge that enable the organization to excel in their performance and achieve the highest possible level of customer satisfaction compared to competitors, through the integration of technology, processes and resources in one or more of the activities and managing the links between these activities.

Mayer et al. (2009) that the core competencies found in the unique resources of the organization, where the dividing these resources to tangible and intangible, and confirm that the core competencies is embodied in the intangible resources specifically, Such as tacit knowledge and learning accumulated over the years with the organization, which have a complex routine, it is difficult to imitate him by others, abilities and trends special.

Coyne, P. and Kevin (2004) core competences can be defined as a set of skills and knowledge that are integrated in the team and that lead to the ability to implement one or more of the critical processes to get to the standards of international specifications. Also, they are the belief held by (Krajwski, et al, 2007; Heizer and Render, 2008) that the core competence include well-trained workforce and flexible to allow organizations to respond to market needs in a timely manner. As well as the existence of the facilities at work sites represented by (offices, warehouses and factories), which represents the main feature. Also, market and financial knowledge through which the organization can attract capital and provide products and services is characterized by what is on the market. In addition, the organizations' has competitive advantage through their existing systems and expertise in the field of information technology.

Proposed research model

Model of the current study was based on classification (Harrison and John, 1998) for the core competences whereby the authors pointed out that the core competences means the use of resources and capabilities in the manner which grant the ability of the organization's strategy includes: organizational resources, human resource and competences. While the organizational performance as the dependent variable includes: financial, customer satisfaction, internal processes, and learning and growth will be depend Balance Score Card for (Kaplan and Norton, 1992).
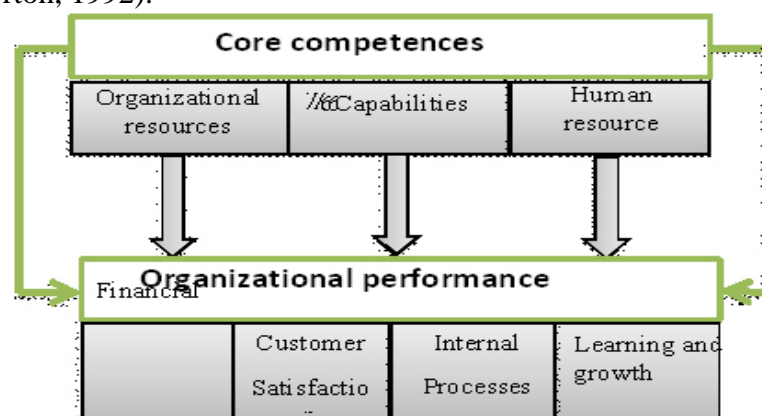
Fig (1) proposed Research Model

Research methodology

This research is a descriptive-statistical research also, with a practical aim. The number of banks that are subject to search (10) Banks prestigious registered in the Iraqi market financial asset (43) Bank worker in the Iraqi environment. The sample of this research was selected for 200 managers. A questionnaire was used to collect data with options (Likert-type) ranging from completely disagree (1) to completely agree (5). The validity of the research was validated by experts, and the reliability of the questions was approximately calculated as 0.891. SPSS was used to data analysis. T-test, mean, simple regression coefficient, Friedman, coefficient Variation tests and simple linear correlation coefficient were used for data analysis.

Data Analysis

The results indicated that 44% of the respondents were in the age group of 41 to 50 years, that 79% of the respondents were in the managers of departments, were the education 44% of the sample B.A. degrees, and 39% accumulated at least 21-30 years from personal experience in working in a bank.

Table 1, Demographic characteristics of the respondents

Variable	N	%	Variable	N	%	Variable	N	%	Variable	N	%
AGE (years)			Years of Service			JOB TITLE			Education Level		
20–30	22	11	5–10	16	8	Executive Director	10	5	Doctorate	46	23
31–40	57	28	11–20	45	23	Director Commissioner	12	6	Master	49	24
41–50	88	44	21–30	78	39	Head of Department	158	79	Bachelor	87	44
51 and above	33	17	31 and above	61	30	Adviser	20	10	Diploma	18	9
Total	200	100		200	100		200	100		200	100

Description and analysis of the dimensions of core competences   as an independent variable**:**

Table 2 shows the dimensions of core competences in the surveyed banks. Based on the perceptions of respondents,   dimensions of core competences received a percentage of 76%, in which its Median (3.83) was higher than the Mean of the scale of (3). Basic dimensions of core competences variables were measured by the coefficient of variation, in which the dimensions were arranged in the following order: organizational resources (first place), human resource (second place), capabilities (third place).

Table 2, Descriptive answers on the dimensions of the study sample (IV.) of core competences

Dimensions of core competences	Median	Ratio	Standard Deviation	Coefficient of variation	Sort by important
Organizational Resources	3.70	.74	.344	9.297	First
Capabilities	3.92	.78	.365	9.311	third
Human Resource	3.88	.77	.361	9.304	second
Total of core competences	3.83	.76	.356	9.304	

The dimensions were measured of core competences were Median with organizational resources [(3.70)] higher than the Mean to [(0.70)], In spite of this, observed irregularity some software which adds a burden to the managers in order to accomplish the tasks assigned of them. Capabilities [(3.92)] are higher than the Mean [(0.92)]. This means, there is great interest in the importance of capabilities where the percentage (78%). Human resource [(3.88)] higher than the Mean [(0.88)], this indicates that there is an interest among the surveyed banks in the availability of human resource to complete the work, where the

percentage (77%). The standard deviation for the Organizational Resources, Capabilities and Human Resource were indicates [(0.344), (0.365), (0.361)] that means the dispersion of a low answers in the study sample, in this area.

Description and analysis of the dimensions of organizational performance as a dependent variable:

Organizational performance was measured through the following dimensions: financial, growth and learning, customer satisfaction, and efficient internal processes. These activities were measured using 17 questions that were distributed depending on the four variables according to the measure (Kaplan and Norton, 1992). Table 3 shows the summary of respondents' awareness on the importance and role of each dimension to achieve organizational performance. Data showed that organizational performance received intermediate attention (66%) from the respondents, with a median of 3.34 that was higher than the mean of the scale of (3).

Table 3, Description and analysis of the dimensions of organizational performance as a dependent variable

Dimensions of OP	median	Ratio	SD.	Coefficient of variation	Sort by important
financial	3.31	.67	.308	9.155	first
efficient internal processes	3.01	.60	.279	9.265	Second
growth and learning	3.37	.67	.313	9.287	Fourth
Customer satisfaction	3.61	.71	.335	9.278	third
Total of OP dimensions	3.34	.66	.312	9.312	

Financial: This dimension were measured through six questions which its Median (3.31), it was higher than the Mean (0.31).This indicates that there is a desire and a moderate tendency among individuals in the surveyed banks to strengthen the financial side in the organizational performance, where the percentage (66%).The standard deviation was (0.308). Refers that the dispersion of a low answers in the study sample, in this area. Efficient internal processes, this dimension were measured through seven questions which it's Median (3.01), it was equal to a Mean (0.31).   As well as, some members of the study sample showed complained of the inefficiency of training methods, dissatisfaction with the justice training opportunities and limited to sections and units without the other. The standard deviation was (0.278). Refers that the dispersion of a low answers in the study sample, in this area.

Customer satisfaction, this dimension were measured through eight questions which its Median (3.61), it was higher than the Mean (0.61).This indicates that there is a desire and a moderate tendency among individuals in the surveyed banks to gain the customer satisfaction and then to promoting organizational performance, where the percentage (72%). Growth and learning, this dimension were measured through eight questions which its Median (3.37), it was higher than the Mean (0.37).This indicates that there is a desire and a moderate tendency among individuals in the surveyed banks to gain the customer satisfaction and then to promoting organizational performance. The standard deviation was (0.313). Refers that the dispersion of a low answers in the study sample, in this area.

Hypothesis Test

Analysis of the correlation among dimensions of core competences and dimensions of organizational performance:

Table 4 shows the correlation among core competences dimensions and organizational performance dimensions. As can be seen, there was a significant relationship between dimensions of information technology and with dimensions of organizational performance. The value of (t) at 2.537 was the largest of all tabulated values under the 0.5 level of significance. Meanwhile, the value correlation (0.826) indicated a strong positive correlation among the dimensions, thus proving the validity and providing support for the first main

hypothesis, which states that that there is significant correlation between dimensions of core competences and organizational performance. In all, This finding indicate the weak organizational performance of the surveyed banks, which were due to the lack of special training programs that guide managers on how to develop and improve performance by maximizing the benefits of core competences.

Table 4, Correlation between the total core competences and organizational performance dimensions

Independent variable	Dependent variable	Correlation of coefficient	t-test	Significance of Hypothesis
Organizational Resources X_1	Dimensions of organizational performance	0.876	3.008	Accepted
Capabilities X_3		0.769	2.086	Accepted
Human Resource X_3		0.854	2.846	Accepted
Total of core competences X	Y	0.833	2.647	Accepted

Sub-hypotheses based on the first main hypothesis

Results show that dimensions of organizational performance were strongly and significantly correlated with Organizational Resources [(t) =3.008)], Capabilities [(t) = (2.086)], and Human Resource [(t) =2.846)]. The calculated value of (t) for the three dimensions (1.659) showed greater tabular values under the 0.05 level of significance and degree of freedom with a value of 73. The correlation values of the three variables were 0.876, 0.769 and 0.854 respectively. These prove the positive correlation and validate the sub-hypotheses (1, 2, and 3), thereby indicating the strong relationship among performance and use of core competences variables, which can improve organizational performance.

Analysis of the effect of core competences dimensions on organizational performance:

Results of regression analysis showed the significant influence of overall core competences on organizational performance dimensions. The value of (F) was calculated as 6.44, which was the biggest of its tabulated value under the 0.05 level of significance amounting to 3.96. The value of beta (β) =0.374 also confirmed that the change in a unit one in IT infrastructure is accompanied by a change of 0.374 in organizational performance dimensions. This finding indicates that employing an IT infrastructure is important in enhancing organizational performance. The coefficient of determination (R2) amounted to a high percentage value of 0.68, which represents the total variance in quotient of organizational performance dimensions. Perception of managers involved in the study determined the importance of IT infrastructure and how it affects their organizational performance. The value of the constant term of regression curve (α) was also obtained. This means that if the value of independent variable is equal to zero, there is a good relationship between IT infrastructure and organizational performance. This finding is obtained even though the managers of the surveyed banks ignored the importance of an IT infrastructure. The result proves the validity of the second main hypothesis, which states that IT infrastructure dimensions have a significant moral effect on the dimensions of organizational performance.

Table 5, Analysis of the effects of core competences dimensions on the organizational performance dimensions

independent variable IV	dependent variable DV	R2	regression curve α	β	F	Quality of significance
organizational resources X_1		0.750	7.555	0.496	9.05	Moral
Capabilities X_2		0.592	9.334	0.377	4.35	Moral
Human resource X_3		0.730	7.189	0.520	8.11	Moral
Total of core competences X	Y	0.69	8.026	0.464	7.17	Moral

Sub-hypothesises based on the second main hypothesis

Oorganizational resources [(F) = 9.05)], Capabilities [(F) = 4.35], and Human resource [(F) =8.11] all had a significant moral influence on the dimensions of organizational performance (Table 5). All values were the largest of the respective tabulated values with a 0.05 level of significance and degree of freedom of 73, which amounts to 7.17. Beta (β) amounted to 0.496, which indicated that the change in one unit in Oorganizational resources was accompanied by change of 0.496 in the dimensions of organizational performance. The value of coefficient of determination (R^2) amounted to 0.750.

The beta coefficient (β), which amounted to (0.377), indicated that the change in one unit in Capabilities was accompanied by a change of 0.377 in the dimensions of organizational performance. This demonstrates that the use of Capabilities increases the effectiveness of organizational performance. Coefficient of determination (R^2) amounted to (0.592). This high percentage indicates that the amount of 0.592 of the total variance quotient in the dimensions of organizational performance. Observation of (β), which amounted to (0.520), indicated that the change in one unit in Human resource was accompanied by change of 0.520 in the dimensions of organizational performance. This demonstrates that Human resource increases the effectiveness of organizational performance. Coefficient of determination (R^2) amounted to 0.730, which is a high percentage. This indicates that the amount of 0.730 of the total variance quotient in the dimensions of organizational performance.

The value of the constant term to curve regression (α) refers to the value of the independent variable if the latter is equal to zero. This means that there is a good relationship among organizational   resources, Capabilities and human resource with the dimensions of organizational performance. It also denotes that there is a great interest (7.555) in the dimensions of organizational performance in the surveyed banks. This result confirms the hypothesis and proves the validity of the first sub-hypothesis based on the second main hypothesis (i.e., the use of organizational resources has a significant moral influence on the dimensions of organizational performance).

It also indicates that there is a great interest (9.334) in the dimensions of organizational performance in the surveyed banks. This result confirms the validity of the second sub-hypothesis (i.e., the use of Capabilities and has a significant moral influence of on the dimensions of organizational performance).Also, the result proves the validity of the third sub-hypothesis based on the second main hypothesis (i.e., Human resource has a significant moral influence on the dimensions of organizational performance).

Conclusion

Today, core competences are widely used in organizations to improve their performance and augment customer satisfaction. The aim of this study is to explore the influence of core competences on the effectiveness of organizational performance in a number of private banks in Iraq, using managers of management as a sample. Results indicated that the core competences were relevant in improving organizational performance. Chen and Tsou (2012) found that there the interaction among the capabilities of human resources and technology can influence the ability of IT to effectively improve performance. AL-Najar and Kalaf (2012) reported that more research and investigation on banks in Iraq should be done, especially with regards to enhance the organizational performance. The findings of the current study also prove that core competence can be help to improve the effectiveness of organizational performance of various banks. The management of surveyed banks also realized the importance of core competence and human resources as an intangible resource to gain the competitive advantage.

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Appendix A. Demographic

Please answer the following questions by either filling in the spaces provided or ticking the

Age (Years)	□ 20–30 years old	□31–40 years old	□ 41–50 years old	□ 51 and above
Marital Status	□ Marred	□ Single	□ Divorces	□ Widowed
Years of Service	□ 5–10 years	□ 11-20 years	□ 21-30 years	□ 31 years and above
Job title	□Executive Director	□ Director Commission	□ Adviser	□ Head of Department

Appendix B: core competences: Component Question:

Code	components	Question
1 - organizational resources		
Our bank is seeking to organize its ability to achieve: -		
ccor1		Best meet the needs of the customer.
ccor2		High efficiency in the performance of employees.
ccor3		Comprehensive audit capability compared to future demand.
ccor4		The use of work teams in organizational structure.
Ccor5		Formation of a measure of skills development services.
Ccor6		Follow the trends of research and development at competitors.
Human Resources 2 -		
Our bank seeks by investing human resources skills to achieve: -		
Cchr7		Our employees have high skills and knowledge in the field of information technology.
Cchr8		Maintain competent human resources.
Cchr9		Teamwork.
cchr10		The application of various techniques to provide good services.
cchr11		Polarization of different skills to achieve a competitive advantage.
cchr12		Benefit from the creative ideas of employees.
3 - Capabilities		
Our bank has the ability to: -		
Ccc13		With a view to identifying opportunities to invest.
Ccc14		Polarization of skilled distinctive.
Ccc15		Possess unique capabilities that ensure the achievement of superior performance.
Ccc16		Innovation and entering new areas.
Ccc17		Use a variety of communication channels
Ccc18		Reduce the cost of service

Appendix c: Organizational performance: Component Question:

Code	Components	Question
Internal Processes		
Our bank		
OP19		Is keen on upgrading the capacity of workers through keeping up with technological developments as a necessity for the survival d growth.
OP20		uses innovative means in communication to enhance cooperation among departments and branches
OP21		Is keen on staff acquisition experience of dealing with the beneficiary and the work culture of pleasing the customer.
Financial		
Our bank achieves		
OP22		an increase in total assets.
OP23		an increase in the overall growth of the annual returns
OP24		is more cash flow and profitable than the our competitors
OP25		success in increasing annual Customizations
OP26		the Return on Investment (ROI) is higher than the of our competitors
Customer		
Our bank is		
OP27		to gain of the customer satisfaction through the implementation of new activities.
OP28		management has skills and abilities that help acquire a new clients
OP29		keen on pleasing customers and employees.
OP30		responds to the requirements of customers
OP31		seeks to meet its customers services and stay in the market
Learning and Growth		
Management of the bank is keen		
OP32		on having an appropriate number of employees who have practical experience in the banking.
OP33		to raise the rate of employees that constitutes presence in the bank as added value
OP34		to enhance market share and thereby achieve growth
OP35		to attract owners of academic and professional certificates who have the creativity.
OP36		to support sections of informatics and research and development (R&D).

PRODUCT INNOVATION AND THE COMPETITIVE ADVANTAGE

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Abstract

Innovation is considered as one of the success features in the economic companies, it's regarded as the basic element to reach customer satisfaction and to realize their desires.

It means finding a new idea which will be implemented for realizing the competitive advantage to the companies, at a time when they have had similar opportunities to present their products with low costs.

We will try through this paper to highlight the innovation in products field through the following:

Definition of innovation and creativity in the economic companies;

Products innovation: types, stages and features:

The role of the products innovation in realizing competitive advantage.

Keywords: innovation, creativity, competitive advantage, PME

Introduction

The world economic environment is characterized by rapid changes in all frameworks, especially the technological sides which become the most important discussion axe that affects the economic company's strategies.

Under this new atmosphere that features the external and internal company's environment, it becomes necessary for company to fit itself in these changes in order to maintain its market place, and to face the aggressive competition in such an open world market. Under such a situation, companies are imposed (compiled) to carry out research and development in all fields through innovation and creativity regarding their methods that include: management process, product, marketing…etc, in order to find out new innovation ideas which distinguish the company from others and give it an efficient competitiveness.

Indeed, there are many types of innovation such as: Product innovation, Process innovation, Marketing innovation, Organizational innovation, Paradigm innovation…etc. All these types and others allow companies to realize a competitive advantage and economic benefits. We focus through this paper on product innovation for the reason that the product (whether goods or services) is the basic of a company establishment and the direct link with consumers who are considered as the most important objective of the companies.

Innovation and creativity in the economic companies:

Distinguishing from innovation and other concepts:

As we mentioned above, creativity and innovation become one of the features of this decade, within which companies are working to improve and develop their external and internal environment.

There are many sorts of innovation applied in the economic companies related to their different activities. And before discussing them, we try to give some definitions concerning innovation and creativity whatever the type.

Indeed, the meaning of innovation varies. It can range from the first commercial use of an invention to the introduction of a new or improved product or process. [1]

There is a link between the two terms innovation and creativity, in other words they are two faces to one coin, while creativity means the creation of new ideas which does not exist before in order to solve problems (that doesn't relate to the technical side only which includes products development and process, but also the machines, production methods, management process. that lead to increase productivity) [2], innovation is the implementation of these new ideas. We find also the term "invention" which nearly has the same meaning of creativity as Fargerberg (2004) distinguished between invention and innovation. He argues that "invention is the first occurrence of an idea for a new product or process, while innovation is the first attempt to carry it out into practice"[3].

The table below indicates the different definitions of the innovation term:

there are various definitions of the term "innovation" which derives from the Latin " innovation" which means the creation of something new.[4]
Innovation refers to the economic application of new ideas that will be transformed to the commerce[5]
Innovation is the commercial or industrial of something new: a new product, process or method of production, a new market or source of supply, a new form of commercial business or financial organization[6]
Innovation means making new products and offering new services, or adding new value to existing ones [7]. It's based on the results of new technological developments, new combinations of existing technology or the utilization of other knowledge acquired by the company[8]
Innovation is the implementation and the application of a new idea related to a new product or service, a new marketing method, a new organizational methods in business practices, workplace organization or external relations[9]
Innovation is the degree to which value is created for customers through enterprise that transform new knowledge and technologies into profitable products and services for national and global markets. It covers a wide range of activities to improve firm performance, including the implementation of a new or significantly improved product, service, distribution process, manufacturing process, marketing or organizational method[10]

2- Types of innovation:

These definitions indicate that there are many types of innovation. According to Schumpeter, there are five areas in which companies can introduce innovation [11]

Generation of new or improved products;

Introduction of new production process;

Development of new sales market;

Development of new supply market;

Reorganization and/ or restructing of the company.

The above definition clearly distinguishes innovation from minor changes in the make up and/ or delivering of products in forms of extension of product lines, adding service components or product differentiation. Innovation is not related to production fields only, but there are other fields and activities which can be innovated as the following:

Process innovation: is the adoption of new or significantly improved production methods. These methods may involve changes in equipment or production organization or both. The methods may be intended to produce new or improved products which cannot be produced using conventional plants or production methods, or essentially to increase the production efficiency of existing products [12].

Marketing innovation: is an innovation that satisfies customer needs and develops a competitive advantage through differentiation along one or more of the following [13]:

Desired Product Features and Design, Size, Usability, Quality, Time, Price ,Cost savings/ Incremental Revenues… in other words is the implementation of new marketing method involving significant changes in product design or packaging, product placement, product promotion or pricing.[14]

Organizational innovation: is the implementation of a new organizational method in the firm's business practices, workplace organization or external relations. It can be intended

to increase a firm's performance by reducing administrative costs or transaction costs, improving workplace satisfaction…etc[15]

Moreover, there are other sorts of innovation adopted by companies which can be illustrated in the figure below:

Figure 01: Innovation Types
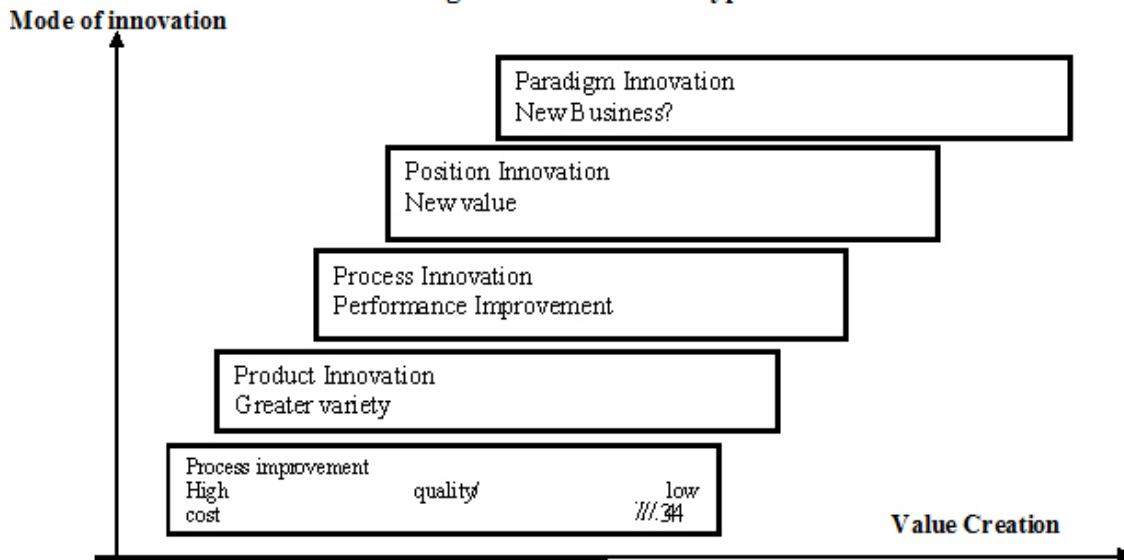
Source : Joe Tidd. Managing Innovation for Global Competitiveness.Renaissance Project Symposium. Tokyo.16 March 2006.P :09

The paradigm above indicates that in every type of innovation there is a created value weather from costs, quality or performance. This classification of innovation's types according to Joe Tidd is conformed with the global value of innovation, for example, the paradigm innovation leads to the opening of new frameworks and developing the company's activities, however; the created value from the organizational innovation is restricted on the current company's activities through the introduction of new leadership models and new management methods. At the lowest level, Tidd suggested the Process improvement as a kind of innovation which means the introduction of new modifications to the existing activities and operations without complete changes, and the result is the reduction of costs and quality improvement. Despite the differences between the created values of each type of innovation, the main and essential objective is to increase the global benefit of the company.

What we can remark from the different kinds of innovation is that there is a common idea which is the improvement and the development which indicates the main role of the technological knowledge. And because any company aims to cover the largest market part or at least to protect and maintain its market position, the innovation plays a big role in that, so it can be(market) considered as an important factor to determine the type of innovation, as the following diagram denotes:

Figure 02:Innovation Typology
Technological Knowledge

Improving existing knowledge   Creating new knowledge

	Improving existing knowledge	Creating new knowledge
Creating new markets/segments	**Market Innovation**	**Basic Innovation**
Retaining existing markets	**Incremental Innovation**	**Technological Substitution**

Source : Jens Froslev. Christensen , <u>**Innovation-concepts, process and strategies**</u> .PHD course, Hillerod
Copenhagen Business School.March 2007

It's clear that there is an interface between the used technology and the market, we differentiate between 4 types of innovation whish are formed as a combination of market and technologies:

- ❖ **Market innovation**: in this type new markets have been created used the same existing knowledge with some modifications and improvements. The main goal here is to discover new markets:
- ❖ **Basic innovation**: depends on creating new markets using new knowledge, in this type there is an interaction and combination between the different types of innovation (product, market, organizational, and process innovation):
- ❖ **Incremental innovation**: In this type companies retain the existing markets and at the same time use and creat new technologies and knowledge;
- ❖ **Technological substitution**: here companies focus on using new technologies.

Figure 03: Other Different types of Innovation
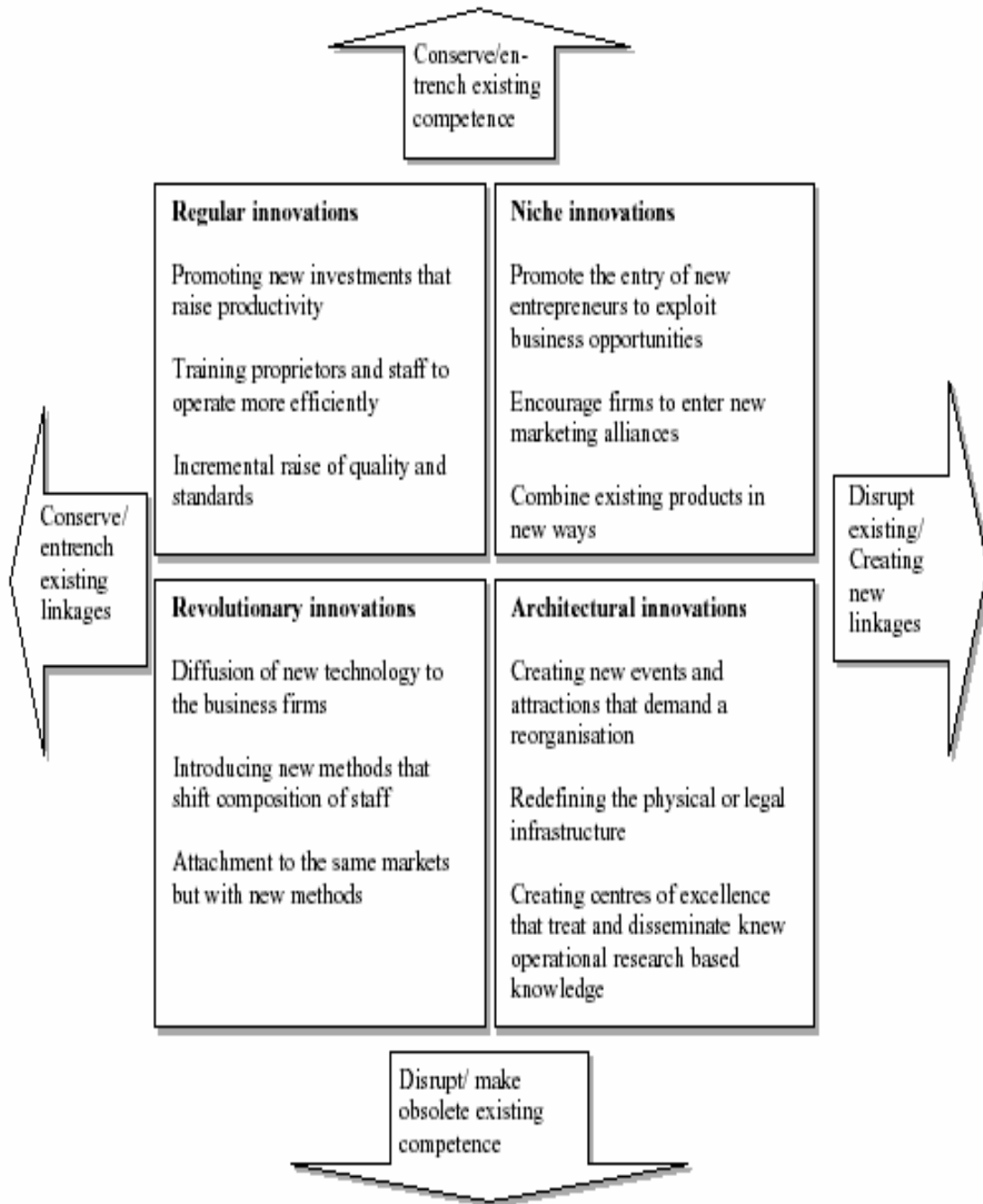
Source: Jalager, A.-M. (2002). "Repairing innovation defectiveness in tourism", Tourism Management, 23, pp. 465-474

Whatever the kind of innovation, the basic axe of innovation remains the creation and the implementation of new ideas under some conditions that should be provided such as:[16]

Willingness: including a company's capacity to change and the extent of its knowledge that change is possible;

Opportunity:

- Supply side: technology exists or could be developed;

- Demand side: regulatory requirement, opportunity to save costs or add to profits, pressure from workers or public;

Capacity: knowledge about better techniques and the level of skill base at the company.

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After this clarification about innovation and its different types we can say that it's considered as a complete system in the company included in the whole managerial system. Such a system is composed of several organizational elements: inputs, technological innovation process, resources that are internal and external factors and firm's innovativeness.

1- **Inputs**: the basic inputs that make up the process are technology, creativity and knowledge:

2- **Process**: it may be achieved on two levels: the research phase and the product development phase consists of stimulation, proposal selection, problem solving and output realization:

3- **Resources**: both internal and external resources;

4- **Outputs**: represented by: products, processes and support activities, and the general outcome of the innovative process that a business creates with the innovative capacities is that business's general innovative index. Of course these outputs will be an input to the system as feedback providing a base for forthcoming innovations. It should be noticed that the innovations that companies come up with can be grouped into five separate categories as the following[18]:

- New to the world;
- Similar innovations adopted in other countries;
- Similar innovations adopted in firm's own industry but its innovations differ in identifiable ways from other companies' innovations;
- Same or very similar innovations adopted by competitors;
- No major innovations at all.

Figure 04: A System Model of Technological Innovation
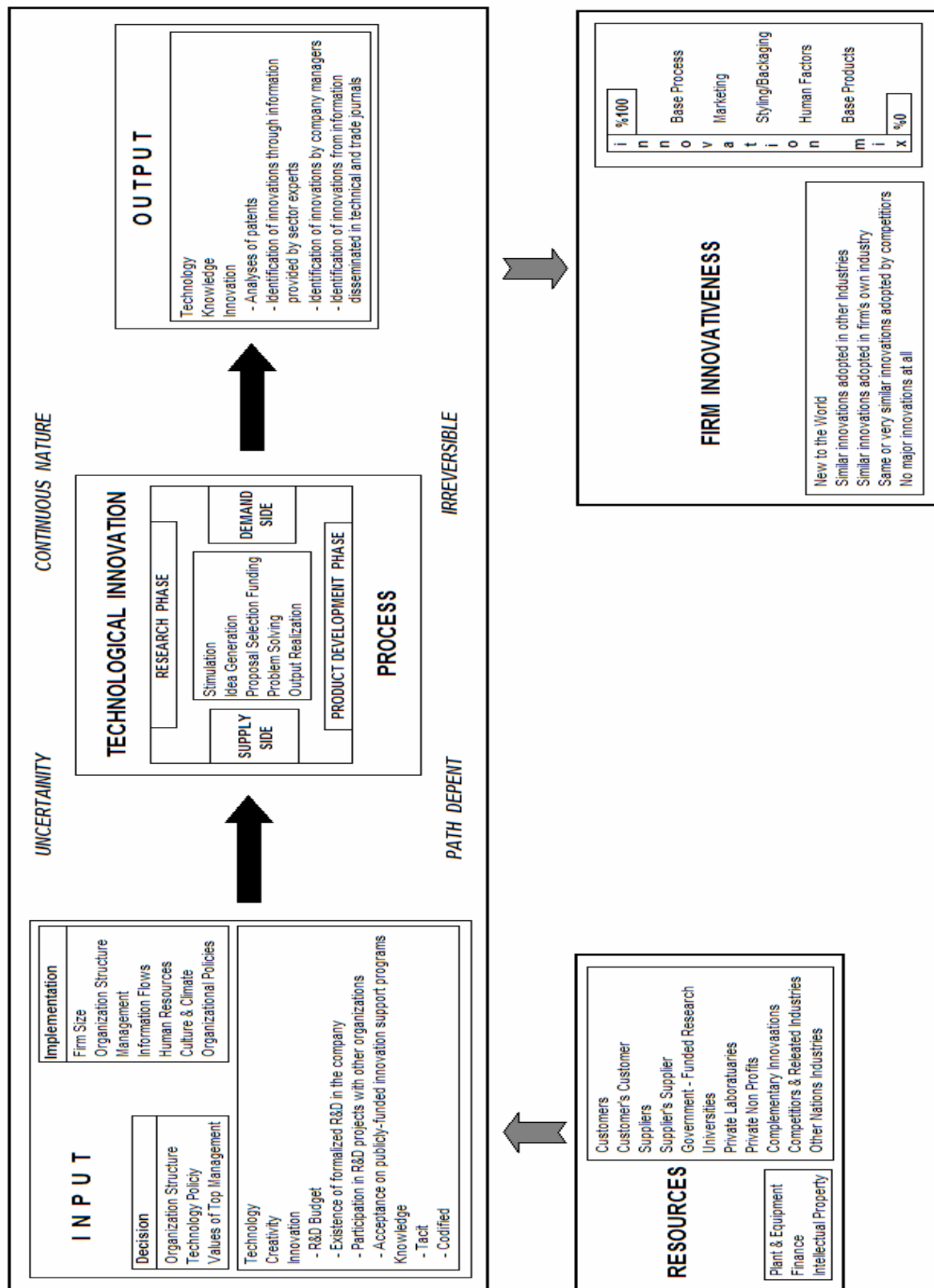
Source: Engin Deniz Eris, Omur Yasar Saatioglu, A system Look For Technological Innovation: Firm Based Perspective. European and Mediterranean Conference on Information System (EMCIC), 2006, July 6-7. 2006. Costa Blanca,Alicante,Spain.P:6.

Sources of innovation

There are several sources of innovation in general. In the linear model of innovation the traditionally recognized source is manufacturer innovation. This is where an agent (person or business) innovates in order to sell the innovation. Another source of innovation, only now

becoming widely recognized, is end-user innovation. This is where an agent (person or company) develops an innovation for their own (personal or in-house) use because existing products do not meet their needs.

Joseph F. Engelberger, says that innovations require only three things[19]: 1. A recognized need, 2. Competent people with relevant technology, and 3. Financial support. Innovation by businesses is achieved in many ways, with much attention now given to formal research and development for "breakthrough innovations". But innovations may be developed by less formal on-the-job modifications of practice, through exchange and combination of professional experience and by many other routes. The more radical and revolutionary innovations tend to emerge from R&D, while more incremental innovations may emerge from practice – but there are many exceptions to each of these trends.

Regarding user innovation, a great deal of innovation is done by those actually implementing and using technologies and products as part of their normal activities. Sometimes user-innovators may become entrepreneurs, selling their product, they may choose to trade their innovation in exchange for other innovations, or they may be adopted by their suppliers. Nowadays, they may also choose to freely reveal their innovations, using methods like open source. In such networks of innovation the users or communities of users can further develop technologies and reinvent their social meaning.[9]

Whether innovation is mainly supply-pushed (based on new technological possibilities) or demand-led (based on social needs and market requirements) has been a hotly debated topic. Similarly, what exactly drives innovation in organizations and economies remains an open question.

More recent theoretical work moves beyond this simple dualistic problem, and through empirical work shows that innovation does not just happen within the industrial supply-side, or as a result of the articulation of user demand, but through a complex set of processes that links many different players together – not only developers and users, but a wide variety of intermediary organisations such as consultancies, standards bodies etc. Work on social networks suggests that much of the most successful innovation occurs at the boundaries of organisations and industries where the problems and needs of users, and the potential of technologies can be linked together in a creative process that challenges both[20].

Product innovation

The continuance and the persistence of any company depends on its capacities to maintain its market place and face the competition which spreads rapidly and aggressively with the globalization and the expansion of the new technologies, and while product reflectes the company's image its whole success depends also on the product success through realizing (compliance) consumers desires and needs, and developing new products.

Product innovation definition

Product innovation is the development of new products, making changes in the current product design or using new techniques and means in the current production methods[21], in other words, it focuses on existing markets for existing products, differentiating through features and functions that current offers do not have[22]. We can look at the product innovation from two sides; internal side where it depends on knowledge, capacities, resources and the technologies used in the company, however; from the external side product innovation focuses on the consumers needs and the owners expectations[23].

Looking at the terms used in product innovation field one can conclude that there has been a change of meanings over time. Although "design" originates from the "making of a drawing" it is obvious that the meaning of "design" has been enriched over time. In parallel to "design" the term" product development" has evolved describing the generation of products, processes or services. In the last couple of years the term innovation was used in a variety of

meanings although the original meaning refers to a more or less radical introduction of changes. The following figure tries to illustrate these differences and their enhancements[24].

Figure05: Preliminary distinction of terms
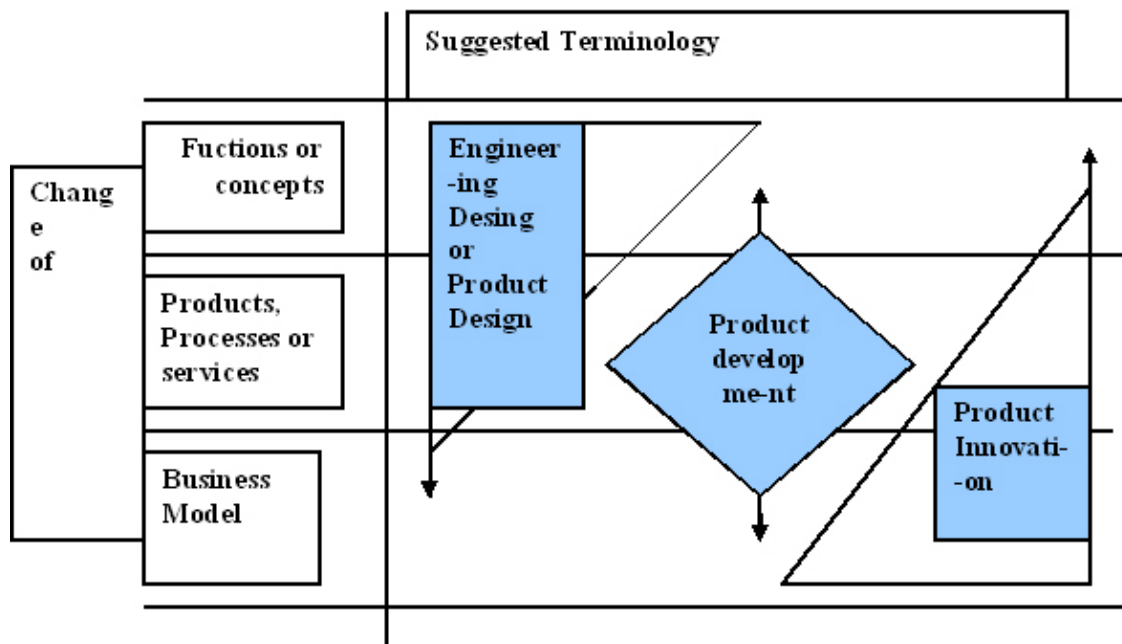
Source: Marxt and F. Hacklin. Design, Product, Development, Innovation: All the same in the end, A short discussion on terminology. International Design Conference- Design 2004. Dubrovnik, May 18-21, 2004. p: 4.

The basis of distinguishing between the three terms design, product development and innovation is the question of what has been changed (or improved). In engineering design the starting point of the discussion was introducing change to functions and concepts, where as in product development the product is in the focus of attention. Innovation starts from changing business models but is nowadays also used for describing the change of products or even technological concepts.

Product innovation advantages

Product innovation is not a new phenomenon which suddenly emerged as part of the space age. It has been around and shaped our life for thousands of years. Today's companies gain their competitive advantage and economic benefits largely from innovation. Further, we can state product innovation advantages both to the company and to industry as the following[25]:

Product innovation's contribution to company output can be measured by sales and profits contributed by new products/ services, change in market share…etc, also product innovation may increase companies' knowledge stock;

Product innovation contributes in reducing production costs and time of production process and that leads to an increase in investment returns and production efficiency,

It contributes also in improving products quality and makes products more competitive in home and external markets;

Realize customers' needs with new characteristics through creating new product pattern with determined measures and features which are not found and realizing the continuance of customer's fidelity;

Providing solutions to the production problems and creating new opportunities to use the new resources;

Product innovation is an important driver of economic growth and productivity. In this relationship the innovation output of one company becomes part of the innovation input to another. An example of this powerful dynamic is the high rate of innovation in

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semiconductors (Moor's Law), which in turn helped drive the innovativeness of the PC business, which fed back as a driver of the PC business and so on[26].

Successful innovation results in new products and services, gives rise to new markets, generates growth for enterprises, and creates customer value. Innovation improves existing products and processes, thereby contributing to higher productivity, lower costs, increased profits and employment. Firms that innovate have higher global market share, higher growth rates, higher profitability and higher market valuation. Customers of innovative products gain benefits in terms of more choices, better services, lower prices and improved productivity. As innovations are adopted and diffusion, the "knowledge stock" of the nation accumulates, providing the foundation for productivity growth, long-term wealth creation and higher living standards.[27]

Main Factors That Affect Product Innovation

Companies are working within an environment characterized by the rapid changes: social, economic, political, organizational, marketing and technological changes. Under this new environment companies become obliged to adopt themselves with these changes to ensure its continuance, at the same time, these changes and variables are considered as opportunities and threats which push companies to create new methods adopted with these environment needs. For instance, the social and organizational factors influence companies through adapting innovativeness in their activities including product innovation to realize market needs, on the other hand, market forces affect strongly the current product position in the market especially with the aggressive competition, further, market situation (circumstances) may influence the current products and directly current product life cycle which has been short with the technological development.

The stable political environment and the support given by authorities for innovation encourages both companies and individuals to innovate whether in production field or other fields through establishing Research and Development centers and providing the necessary financial and human resources to them. Moreover, technological forces provides new methods in products innovation field according to customer's needs, and in order to increase profits, competitiveness and maintain the market share companies should take the technological innovation as a part of their global strategy[28]. All these forces represent opportunities to companies for solving their problems through innovating new products or making modifications in the existing ones. The figure below denotes the main elements that influence product innovation.

Figure 06: Factors affecting product innovation
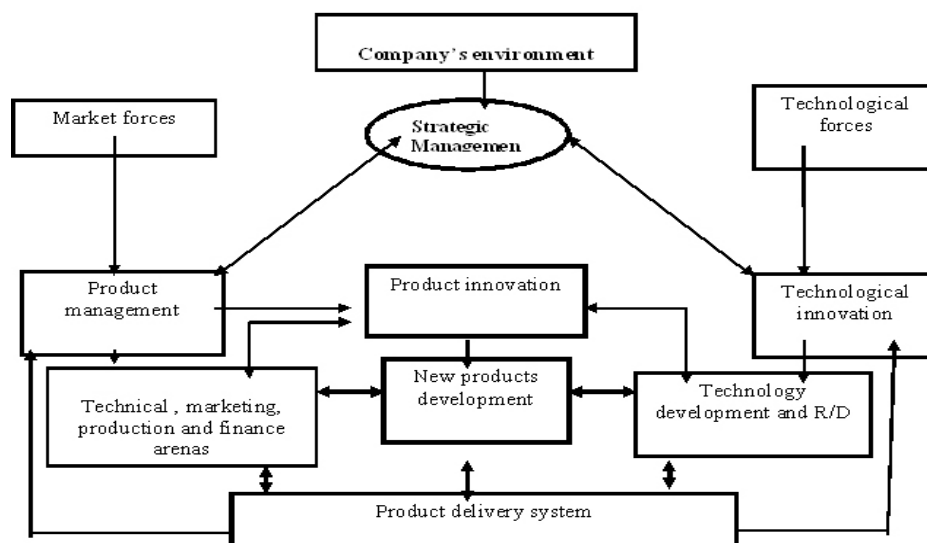
Source: David L.Rainey. Product innovation: Leading Change through Integrated Product Development. Combridge University Press.2006.p:09.

We remark clearly the interaction of the different elements of company's environment and their influence on innovation process in general and on the product delivery system.

There are other external and internal factors that affect product innovation such as:

Customer needs and expectations: companies oriented to customers are responsive to their final needs, measure their satisfaction level and improve the processes in order to satisfy them. In the context of product innovation, Hippel's (1988) approach based on customers' needs emphasized that companies, in their innovative efforts, have to turn to users' needs [29]. Christensen (2003) emphasized that focus on existing customers can limit a company aptitude to innovate because managers are not keen on serving new users. However, focusing on existing customers is not the same as to be completely market oriented [30]. Verhees et al (2004) carried out a research in Holland on the role that customers have regarding radical product innovation in small companies. They proved the hypothesis that expressed needs of existing customers for radical product innovations influence positively on radical product innovation acquisition in small companies, however, in the case of expressed needs of potential customers the hypothesis has not been proved [31].

Technological opportunities: product innovation is closely related to a scientific base and scientific knowledge growth. Technological opportunities emphasizes the importance of organized activities of Research and Development in companies. According to Baldwin and Sabourin (1999) organized R&D activities are more important for product innovation , they found that the probability that companies with R&D departments will introduce innovations in products is 59% whereas for companies that do not have R&D departments the probability is 37% [32].

Product Innovation Types

Product innovation includes many sorts such as:

Development of the old products which are produced already in the company with making modifications and partial changes in shape or product components;

Innovating new products to realize market's needs;

Using new techniques in production process;

Changing production methods

According to Booz Alnet Hamilton there are several types of products innovation which are [33]:

Launching new products which are not existing before through; buying innovations from other companies, or developing new products through R&D programs done by companies in their laboratories or in external ones;

Widening products mix through adding new products;

Improving existing products;

Reclassification products positions and oriented new products to new markets;

Reducing costs through applying new techniques to produce new products.

Product Innovation Stages

In a modern industrial company the design of a new product is not an isolated activity. Product design is part of a more comprehensive process called" the product innovation process". In short, product innovation is the development of a new business activity around a new product.

There are many stages that companies should follow in product innovation process. Although they differ from one author to another, there are some common stages as we'll denote below.

Product innovation stages according to Roozenburg and Eekels

According to Roozenburg and Eekels product innovation process consists of six main stages which are :[34]

Product planning;

Product policy;

Idea finding;

Strict development;

The technical development process;

The commercial development process.

Product planning

In the product planning stage, a product policy is formulated and new product ideas are generated. In this phase it is decided which product will be developed and when. Finding fertile product ideas is not only a matter of creative generation, but also of proper selection and, therefore, of the recognition of favorable opportunities. A new product idea is the basis of the assignment for product designers, and the start of the strict development phase.

Product policy

A policy covers two things: goals and strategies. Companies do have all kinds of policies: investment policy, R&D policy, personnel policy, sales policy…etc. Almost all policy sectors have elements that are important to the development of a new product. The most important strategic components- the kinds of products a company wants to manufacture and the functional markets it wants to cultivate- are known as the product- market strategy. In addition the product policy states objectives in the form of criteria for the assessment and selection of product ideas.

Idea finding

Companies find its new product ideas through:

Keeping informed about new markets and customer's needs;

Investigate the strengths and weaknesses of the company;

Getting inspired by those studies and generating new product ideas;

Selecting the most promising product ideas and formulating them into an assignment for further development.

Strict development

In this stage the idea for a new business activity ought to be worked out into detailed plans for the product, the production and the distribution. These plans are developed with a new product idea as point of departure, and it is very important that they are properly attuned to one another.

The technical development process

The goal of manufacturing is the production of a number of products according to a particular design. This goal is the material goal of the product development process. The idea for a new business activity includes a first formulation, still rough and provisional, of this goal in the form of the product idea, together with a statement about the expected number of items to make. In the technical development process the material goal is worked out, and the means of production are developed. Technical development is an iterative or spirally proceeding process. The designs for the product and its production grow in successive cycles from vague ideas to concrete plans.

The commercial development process

A company which does not make a profit cannot last in the long run. Therefore, product development ought to fulfill a business economic goal as well as a material goal. Contrary to the material goal (a product's function), which is worked out during the process of product development, the business economical goal is given prior to the development process, as part of the product policy. Which role does this goal play in product development?. Answering this question brings us to the area of marketing. To calculate the profit, one must know what the development, production, distribution and sale of the new product costs, and which numbers one plans to sell at a certain price. To calculate the costs of manufacturing, most of the data can be derived from the technical designs. The data about the expected sales, the planned selling price and the sales costs (distribution, advertisement and so on) are to be taken from the marketing plan. Central to the marketing plan are the so called marketing mix decisions, about (the nature of) the product, the price, the distribution (the place) and the promotion.

Figure 07: Product innovation stages according to Roozenburg and Eekels:
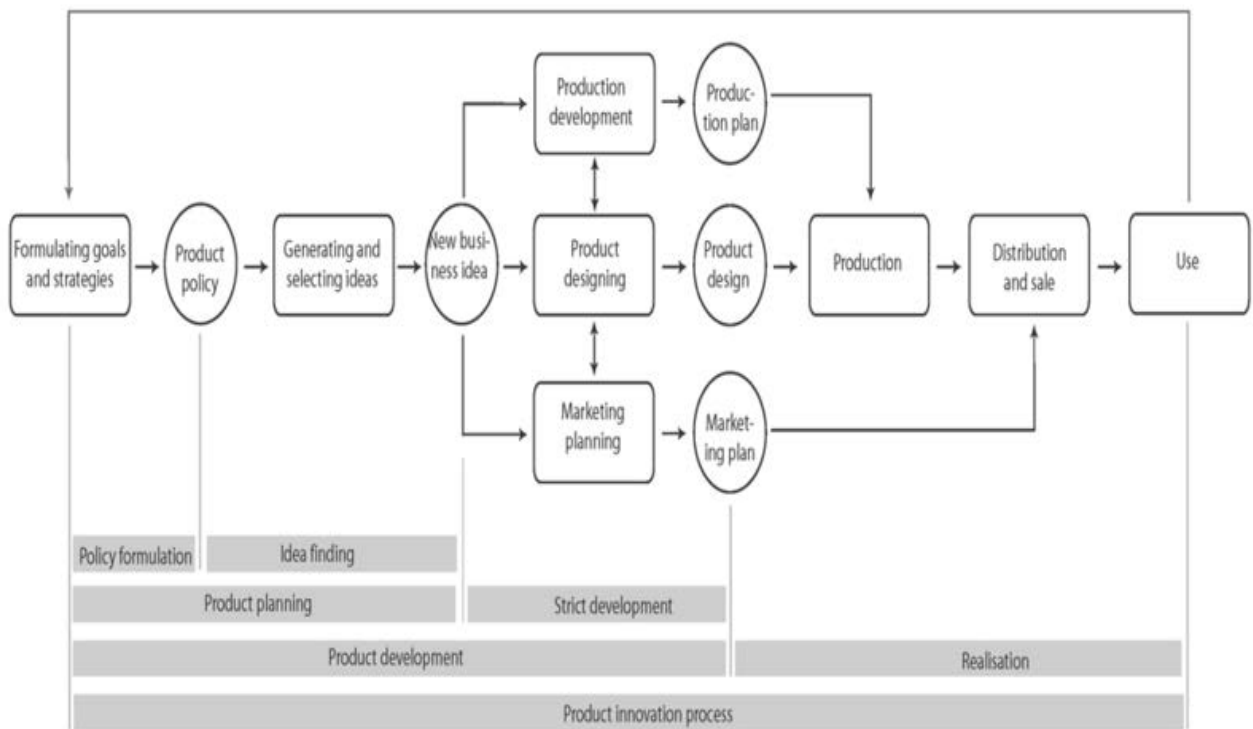
Source: Roozenburg N. and Eekels J. (1998) Product Design: Fundamentals and Methods, Wiley, Chichester, 2nd ed

Another model including product innovation stages is the Stage-Gate Process. Stage-Gate is a widely employed product development process that divided the effort into distinct time- sequenced stages separated by management decision gates. The table below summarizes the stages[35].

Table 01 : Proposed Tasks in Stage-Gate Process

Stage	Possible Tasks	Proposed Tasks
Discovery	-Brainstorming, -Mind mapping, Value -Innovation, TRIZ, Check lists	-Voice of Customer -Mind Mapping combined with Group Brainstorming
Preliminary Investigation	-Set up idea database -Market and technical analysis -Competitive analysis	-Collecting Ideas into database -Define market and technical characteristics, -General competitive analysis such as number and size of competitors through the internet
Detailed Investigation	-Portfolio Management, Scoring Models, Economic Models	-Portfolio Management, Constructing competitor's products roadmap -Trade show visit -Define marketing planning for selected product: e-advertising, direct marketing (cooperate with partners), target costing strategy. -Partnering and outsourcing
Development	-Customer feedback, , shortening development time	-Customer feedback, shortening development
Testing and Validation	-Field trials, , e-commerce test market	-Field trials, e-commerce test market
Launching	-Implementing Marketing Launch Plan (Marketing Mix)	-Implementing Marketing Launch Plan
Post Launching review	-Profitability Analysis	-Profitability Analysis

Source: Amalia Suzianti, Case Study: Developing a comprehensive Product Innovation Process, The 2nd SEPneT .Workshop. Buenos Aires, September 28th, 2005

The stages according to this model include the detailed ideas as the following:

Preliminary Investigation: includes the following steps:
*Collecting Ideas into database;
* Define market characteristics:
        - Market size and ports, user benefits, competitor info
*Define technical characteristics:
        - Number of dialog states, Perplexity of the grammar, customization
*Internet competitive analysis:
     - General info and characteristics.

Detailed Investigation:
* Portfolio Management through
* Constructing competitor's products roadmap;
* Trade show visit;
* Define marketing planning for selected product:
        • e-Advertising;
        • direct marketing (cooperate with partners);
        • target costing strategy;
        • Early follower strategy.
* Partnering and outsourcing.

Development, Launching:
*Post Launch Review;
* Customer feedback, shortening development time;
* Field trials, e-commerce test market;
* Implementing Marketing Launch Plan:
  • Direct Marketing;
  • E-Advertising;
  • Target Costing;
  • Early Follower.
*Profitability Analysis.

In order to apply these new ideas or new innovations, there are supplementary activities such as[36]:

Providing the necessary raw materials with the precise features;

Studying and determined the favorable organizational relationships needed in production process;

Making market research;

Putting juridical procedures to protect new innovations.

It should be mentioned that in order to success the new product the marketing mix of the new product should illustrate other characteristics such as: better quality degree, better packaging, innovated distribution places…etc to ensure that the new product will be accepted by customers. Further, some conditions should be provided in companies as:[37]

Good knowledge of the cible markets through collecting information getting by market studies for planning and determining the favorable time to innovate;

Insuring that the new product realizes customers needs and performing well in markets;

Having the competences to use technologies for presenting the innovated product.

IV-The role of product innovation in enhancing competitive advantage in PME:

Developing and innovating products is considered as a growth driver for companies, whereas; companies competitive position is determined through their capacity to innovate in their product portfolio and the time that they need to launch their new products.[38]

The success of developed companies refers to the innovation in their strategies, process and products. Innovation helps companies to realize positive results in market and competition rates such as: Nokia (in mobile commerce), Microsoft (in computer trade), GMC (in cars trade)…etc. Product innovation precisely is considered as one of the most important strategies which allows company to be differentiated within its competitors, in other words, product innovation is a source of the competitive advantage.

Competitive advantage definition:

There are many meanings of competitive advantage as:

It means the company's capacity to provide products and services to customers with higher quality than other competitors in the world market. It means also the capacity to produce new product with higher quality, preferred price and favorable time;[39]

It is the capacity to innovate new products in order to be more competitive through: quality, higher techniques, perfect marketing…etc for attracting customers;[40]

There are several strategies to realize competitive advantage which are related directly with products such as: low costs strategy, differentiation strategy and focus strategy. The first one means the company's capacity to produce or to sell the same product by a lower price than the competitors, the second strategy (differentiation strategy) - that was proposed by Porter- means to differentiate the product in order to create new value to the customers.[41] This

strategy aims to develop company's products and to improve the quality for maintaining an advanced competitive position through product innovation which create a new value.

In the third strategy (Focus strategy) the company concentrates and focuses on a selected part of the market and tries to realize its needs through the differentiation in products or prices or both.

Figure 08: Strategies Types
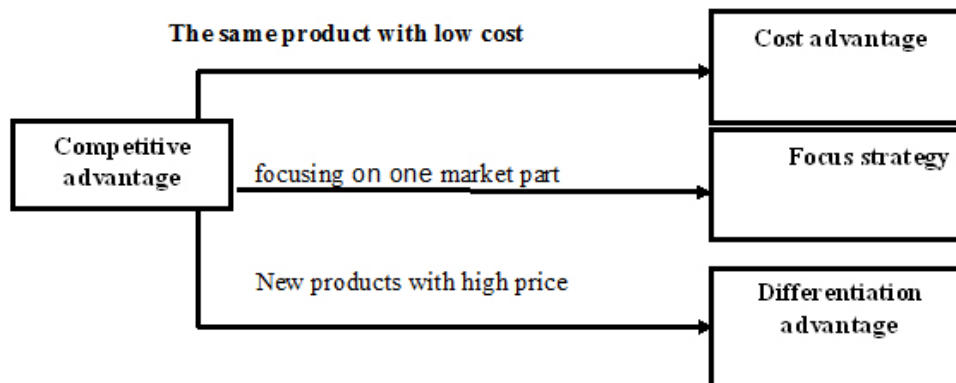
To be distinguished company, it should follow some steps such as:[42]

Customers need analyses: the main objective to differentiate products is to present an added value to the product for realizing customers' needs in this case customer can buy the products with higher prices. So that, it's necessary to analyze customers' needs which are not realized by the existing products and studying the value or the amount which can be paid by customers;

Having higher capacities and competences to develop products;

Developing the marketing capacities: because analyzing customers' needs and developing products need advanced marketing competences. Also to sell differentiated product, companies should convince customers to buy their products. Further, to protect the commercial brand companies should apply efficient strategies especially when they adopt differentiation strategy because the famous commercial brand and the higher performance encourage customers to pay more;

Focusing on development and creativity;

Adopting R& D programs;

Using high technologies for reducing costs and managing products development activities.

Conclusion

Company's continuance is related to its capacity in developing competitive advantages in its products that allows it to obtain customers' fidelity and widing its market share through product innovation. So companies become obliged to adopt product innovation and provide the favorable environment through:

Encouraging R& D;

Providing financial sources to support new innovations;

Putting efficient programs and policies;

Motivating innovators

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TRADE IN CLIMATE SMART GOODS OF ECUADOR: QUANTITATIVE ANALYSIS USING TRADE INDICES, SMART AND GRAVITY ANALYSIS

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Abstract

The study identified Climate Smart Goods (CSG) in which Ecuador has advantage in production and trade. The interest in the subject of Trade in Climate Smart Goods was fuelled by Ecuador´s positive trade balance with the rest of the Andean Community and MERCOSUR region in 2010. SMART tool in WITS has been utilized for evaluating the relative benefits of tariff liberalization of CSG with MERCOSUR, China, Japan, US, and EU27 separately in 2010. It provides the results on various variables such as, trade creation, trade diversion, tariff revenue, and welfare and consumer surplus. Further, the study has also utilized a variant of Baier and Bergstrand (2001) gravity formulation for working out the basis of trade and export potential in CSG of Ecuador in 2010. The study concludes that trade in CSG will help Ecuador to promote alternative industries in the face of Global Economic Downturn. Also, it will help countries to look for safe, alternative and reliable energy source rather than believing in trade of crude and petroleum oil only or investing a great deal in nuclear energy. Ecuador can direct its social spending in promoting small industries which can provide CSG goods (low carbon emanating goods) at low cost. The Country-wise analysis reveals that for Ecuador, as far as trade in CSG is concerned, it is better to liberalize trade with the Japan, the US and the China, the main suppliers (exporters) of CSG products. The study also finds that there is export potential of 34 million US $ in CSG with respect to four Latin American trading partners of Ecuador. The four Latin American Countries are Bolivia, Chile, Columbia and Peru. This is less than the export potential when Ecuador liberalizes its trade of CSG with China, Japan and the US. Finally, on the basis of Gravity Analysis, some national and international policies are recommended for promoting CSG goods and limiting Climate change.

Keywords: Climate Smart Goods (CSG), Trade Indices, SMART Analysis and Gravity Analysis JEL Classification Codes: F14, F18

Introduction

Trade and investment in Climate Smart Goods[22] (CSGs) and climate-smart services have recently received much attention as a triple win scenario where trade, climate and environment, and development all benefit (UNESCAP, 2011, a, b). The CSGs forms part of the broader group named 'Environmental Goods and Services (EGS). CSGs are defined as components, products and technologies which tend to have relatively less adverse impact on the environment. It constitute low carbon technologies such as solar photovoltaic systems, wind power generation, clean coal technologies and energy-efficient lighting. These goods

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[22] See Appendix Table A1 for details.

and technologies[23] allow for production processes that have no or minimum Green House Gas (GHG) emissions and negative impact on environment and which are at least economically efficient and acceptable.

The term "climate smart" was chosen over the previously used classification of "climate friendly" owing mainly to the fact that many goods/technologies contained within the UNESCAP list are not only "friendly" to the climate (i.e. assist in mitigation efforts by reducing GHG emissions), but also contribute to fostering "climate-smart" development by improving adaptive capacity such as by conserving water or by improving access to energy. World Trade Organization (WTO) has recognized 153 environmental goods which have been broadly classified under the following headings: Air pollution control; Management of solid and hazardous waste and recycling systems; Clean up or remediation of soil and water; Renewable energy plants; Heat and energy management; Waste water management and potable water treatment; Environmentally preferable products (based on end use or disposal charactersitics); Natural risks management; Natural resources protection;

Noise and vibration abatement

World Bank has also identified 43 products out of the 153 products list proposed by proponents of environmental goods liberalization in the WTO. These 43 products comprise diverse products from wind turbines to solar panels to water saving shower. Also, there has been a rapid growth in their imports and exports. What is common in all the lists floating around is that they consist of goods which tend to have benign impact on environment and lead to low carbon emanating processes. Promoting trade in CSGs has become important because of the need of such goods by countries in the wake of recent financial crisis in Europe and after events in Japan recently. Countries want to concentrate on low energy consumption and save them from relying entirely on nuclear energy which may be prone and be affected by natural disasters like what happened in Japan. Trade and investment in CSG offers opportunities to export international standards, promote the rule of law and good governance, and close the gap between the rich and poor.

The main focus of the present study is to evaluate the policies related to trade in CSGs in Ecuador. The study believes that economic growth, higher trade and environment sustainability, all three are possible at the same time and there is limited tradeoff between them. The interest in the subject of Trade in Climate Smart Goods was fuelled by Ecuador´s positive trade balance with the rest of the Andean Community and MERCOSUR region in 2010 (as shown in Table 1).

Table 1: Gross Exports and Imports of CSG by Ecuador to and from the Partner Regions/Countries in 2010			
Product Code	Partner Name	Gross Exports	Gross Imports
CSG2002	All Countries	91319.906	487572.047
CSG2002	Andean Customs union without Ecuador	49834.952	46908.311
CSG2002	Argentina	119.609	3312.600
CSG2002	Bolivia	573.611	13.377
CSG2002	Brazil	3.201	16427.403
CSG2002	Chile	7283.650	7755.537
CSG2002	China	3.685	61667.021
CSG2002	Colombia	17937.610	22124.861
CSG2002	EU27 (Europen Union 27 Members)	375.621	61096.945

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[23] Climate Smart Technologies consists of technology that improves efficiency and conservation of conventional fossil energy and enables the commercial and efficient use of renewable energy sources.

CSG2002	Japan	0.122	2054.675
CSG2002	Latin American Common Market (Mercosur)	71477.799	55834.663
CSG2002	Peru	31200.921	4850.125
CSG2002	Paraguay	--	0.099
CSG2002	Uruguay	--	179.846
CSG2002	Venezuela	14359.197	1170.815
CSG2002	United States	1183.914	273645.369

Notes: i) 64 CSG list is based on HS 2002 for the year 2010; ii) The figures are in 1000 USD; MERCOSUR : It is a common market, has the following core members-Argentina, Brazil, Paraguay, Uruguay and Venezuela. Associate members are Bolivia, Chile, Columbia, Ecuador and Peru. We consider all core and associate members of the MERCOSUR excluding Ecuador in our study because we consider Ecuadorian trade relations with other members; ANDEAN : It is a customs union, has the following core members-Columbia, Ecuador, Peru and Bolivia. The Associate members are Argentina, Brazil, Paraguay and Uruguay. We consider all core and associate members except Ecuador as we need to consider trade relations of Ecuador with all its trading partners.

Source: WITS database.

This may be a reflection of Ecuador´s maturity in dealing with environmental issues since the early 1980s and due to preferential trade policies followed by the ANDEAN countries. In the world, the leading exporters of these goods are Japan, US, Countries of EU, China and HongKong. Their exports share is more than 3 percent in total world's exports of CSGs. For Ecuador, trade in CSGs will help to promote alternative industries in the face of global economic downturn. It will also assist to look for safe, alternative and reliable energy source rather than believing in trade of crude and Petroleum Oil only or investing a great deal in nuclear energy. Nuclear energy was in the brink of being affected in Japan due to recent earthquake in Japan. Ecuador can direct its social spending in promoting small industries which can provide CSGs at low cost.

Policy Questions

One would have least expected the same after finding that Ecuador is a net importer of CSGs (basically components to cleaner technologies), as with the case of the entire Latin American region, from China, Japan, the US, the EU27 and World at large. Then why would it have a positive trade balance with its Latin American Trading Partners? Does this reflect the matured response of Ecuador on having growth with environment policies since early 1980s, reflected by its early ratification of Kyoto Protocol, Convention on Biological Treaty (CBT) and protection of its Amazon jungles? Would it also mean that that Ecuador has realized the benefits of CSGs early to have positive trade balance with its neighboring countries?

It may be also due to preferential trade policies followed upon by member nations of the ANDEAN region. Or, the above trend can be just a consequence of their fast export growth. One, however, would like to establish with more certainty the association of various policies that have been put in place to help mitigate climate change and trade pattern changes.

The study will outline the national and international policies adopted by Ecuador as far as cleaner and environment friendly policies are concerned to answer the above. Would it further mean then that by further liberalizing trade with MERCOSUR and ANDEAN Countries would bring some further gains to Ecuador? Would Ecuador gain more by liberalizing Ecuador's trade with the most efficient suppliers of the CSG- the Japan, the Hong Kong, China, EU and the US? Would it further mean that Ecuador will have the same trend (positive trade balance) with all its Latin American in all other products and some identified specialized products? Liberalizing trade in this study would mean a scenario of zero tariffs for imported products. This would have total trade effects as sum of price or terms of trade effect

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and quantity effects as sum of trade creation and trade diversion effects. These effects along with consumer surplus, revenue effects and welfare effects will accrue to the importer. Such effects are estimated by SMART analysis.

In this study, we have done liberalization simulation for Ecuador (importer) country only. Therefore, any export potential effects of Ecuador for imports coming into MERCOSUR or EU, the Japan, the China and the US is examined by not working on the liberalization efforts of its trading partners but by Gravity Analysis. It helps us to explain Ecuadorian trade of CSG products by identifying the host of determinants explaining such trade. Gravity model has also used to work out the export potential (actual minus the predicted trade) of Ecuador and its trading partners for CSG products.

On the basis of above discussion, present study has following three main objectives:

Evaluate the trade performance of Ecuador in CSGs and identify the goods in which Ecuador has comparative advantage by using various trade indices;

Calculate the impact of trade liberalization efforts of Ecuador in CSGs with MERCOSUR countries and the US, China, Japan and the EU27 by using SMART analysis.

Finally, apply Gravity analysis to explain Ecuadorian trade of CSG products by identifying the host of determinants explaining such trade. It also give us the figures of 'export potential' of Ecuador and its trading partners for CSG products.

For pursuing the abovementioned objectives, the present work has been divided into five sections including the present introductory one. Section 2 presents the Literature Review with focus on background and importance of the CSGs. Database and Methodology utilized has been presented in Section 3. In Section 4, empirical results have been presented and discussed. Section 5 concludes the whole study and provides some noteworthy policy prescriptions.

Background and Importance of the Climate Smart Goods: Literature Review

The facts of international trade are that strong (trade-led) growth has led to sharp expansión of fossil fuel-intensive production and cargo transportation. The downside is that it has resulted in a surge of green house gas emissions, which accelerate climate change and its impacts. Developing countries are expected to be the hardest hit. Therefore, there is a pressing need to improve ecological sustainability of trade-led growth strategies in the region.

The figure I, below shows the total carbon emissions from imports and international transport as compared to hypothetical "no trade" situation by taking 2004 as base year. Where imports had to be replaced by domestic production for selected countries and regions including Latin American Countries (LAM). The results show that no trading (imports) with the world may help Latin American Countries in reducing carbon emissions.
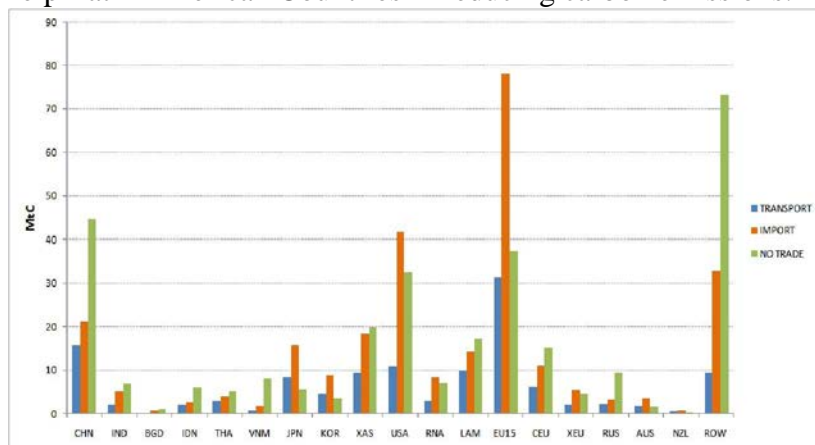
Figure I: Total carbon emissions from Imports and International Transport as compared to hypothetical "No Trade" situation Source: Mikic (2011)

Further, figure II below shows the import emission intensity index[4] for selected regions and countries of the world including Latin American Countries (LAM). For Latin American countries again the import emission intensity index is low in comparisons with other regions. It also shows the high import emission intensity of countries like Japan, Korea, EU, Australia and New Zealand in comparisons with other regions and countries.

Emission intensity indices of exports and imports are worked out. The values of these indices range from 0 to infinite but the important benchmark is a value equal to 1. For example, if the emission intensity index of imports is larger than 1, emissions embodied in goods produced overseas and transported to a destination are larger than the emissions that would have been caused by local production in that destination of the same amount of goods. In other words, from a climate change perspective, it would have been less damaging to produce these goods locally than to import them. In the opposite case, when the index is less than 1, the environment is less damaged by trade than when no trade takes place. The index value of 1 indicates that emissions associated with imports of goods are the same as those associated with local production replacing trade.
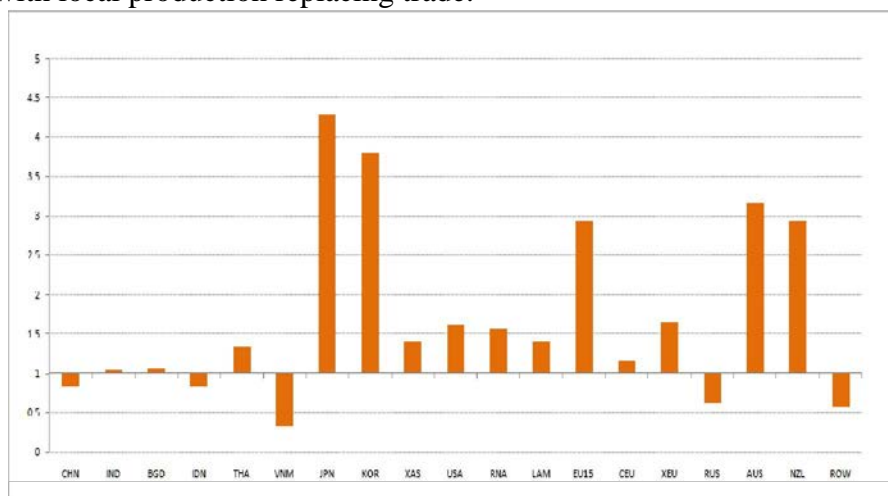
Figure II: Import Emission Intensity Index (Base 2004)
Source: Mikic (2011)

Figure III below presents the total carbon emissions from export and international transport as compared to hypothetical "No Trade" situation where imports had to be replaced by domestic production at 2004 base year. It shows how no trade (exports) can lead to increased emissions for the EU region but not for the Latin American Region.
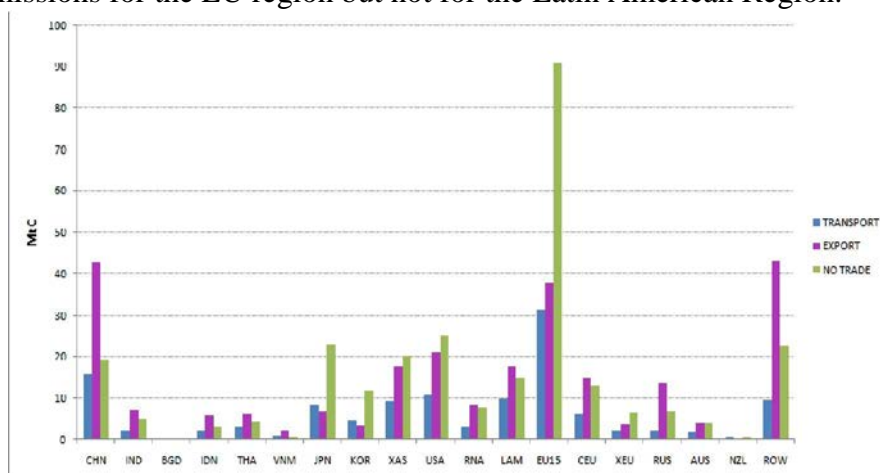
Figure III: Total carbon emissions from export and international transport as compared to hypothetical "no trade" situation
Source: Mikic (2011)

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Further, figure IV shows export emission intensity index for selected countries and regions. The figure explains that for Latin American Region (LAM) exports are relatively less intensive in carbon emissions.
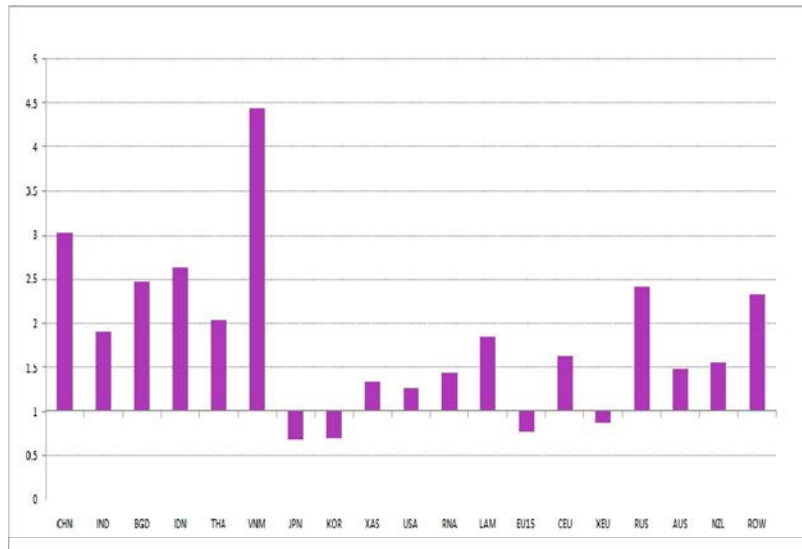
Figure IV: Export Emission Intensity Index for Selected Countries and Regions
Source: Mikic (2011)

Figure V below shows the import emission intensity of climate friendly goods only. They are high for Japan, Korea, EU, Australia and New Zealand signifying that by domestically producing them they have become the most efficient suppliers of the same goods.
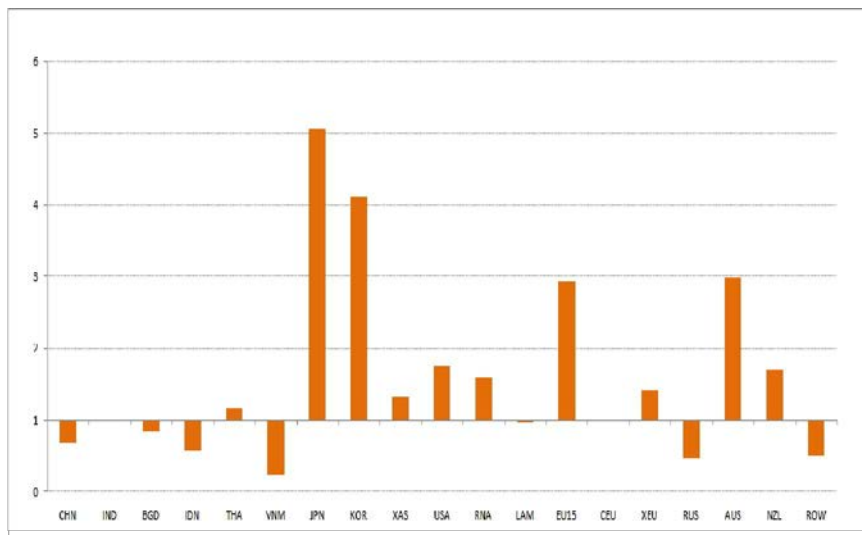
Figure V: Import Emission Intensity Index of Climate Friendly Goods Only
Source: Mikic (2011)

Further, figure VI below may construe that for Latin American región if imports of climate friendly goods are made posible from efficient suppliers of the environmental friendly goods, then the Latin American región can focus on using their resources for other specialized products.
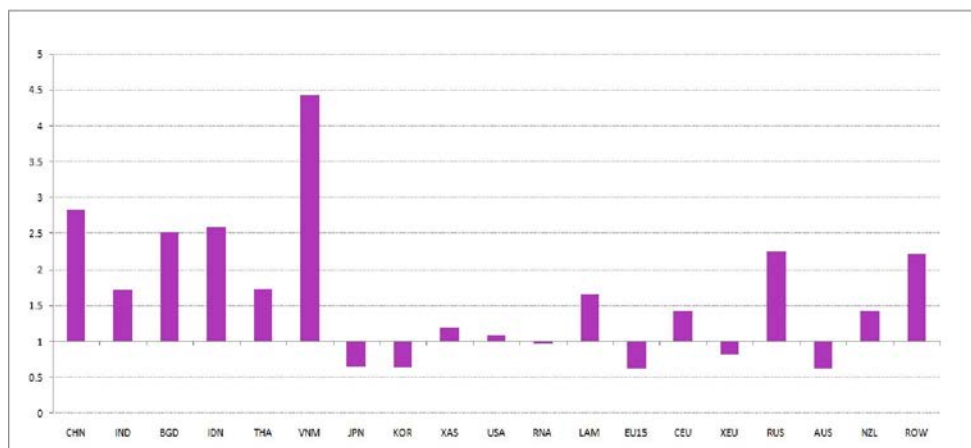
Figure VI: Export Emission Intensity Index of Climate Friendly Goods Only
Source: Mikic (2011)

Database and Methodology

The main databases used for the empirical analysis are World Integrated Trade Solution (WITS) by World Bank, World Economic Outlook, 2011 provided by International Monetary Fund (IMF), CEPII database (www.cepii.fr), TRAINS database included in WITS, World Development Indicators, 2010 by World Bank. The study considers 62 trading partners for the year 2010. The sources and the variable construction have been given as follows:

Import data to and from Ecuador of CSG goods-one category made of the list of 64 goods (under 6 Digit HS Combined) is taken from WITS data base for 2010;
GDP data of trading partners is expressed in billions of US dollars and the basic source of data is the IMF, World Economic Outlook (April 2011 edition);
Distance data is taken from the dist_cepii.xls file of CEPII data base;

Tariff data is applied weighted tariff (%) on CSG goods for each country available from the TRAINS database;

Inter country dispersion is product of two terms si *sj where si = GDPi/(GDPi+GDPj) and sj = GDPj/(GDPi+GDPj). Si and Sj is constructed from GDP data of trading partners; and Prices data of reporter (importer) and partner (exporter) from the GDP deflators available from the World Bank World Development Indicators available at the World Bank website for 2010.

All variables are in natural logs so the estimates of parameters will capture elasticity of explanatory variables with respect to imports.

Methodology

To pursue the study's objectives, three main methodologies have been utilized. To accomplish the need to evaluate the trade pattern of Ecuador, different trade indices have been calculated. Further, SMART analysis, a partial equilibrium tool, has been utilized to evaluate the impact of trade liberalization in CSGs. Finally, OLS regression has been utilized to estimate the Baier and Bergstrand (2011) version of gravity analysis to estimate the factors affecting trade. Following three subsections briefly explain all these methodologies.

Trade Indices

The following trade indices have been used to evaluate the trade pattern of Ecuador:
Share of Product in Total Exports: It is the share of each export product (at a chosen level of disaggregation) in the country's total exports.

Competitiveness Index: Competitiveness in trade is broadly defined as the capacity of an industry to increase its share in international markets at the expense of its rivals. The competitiveness index is an indirect measure of international market power, evaluated through

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a country's share of world markets in selected export categories. It is the share of country s exports of good i in the total world exports of good i. It takes a value between 0 and 100 per cent, with higher values indicating greater market power of the country in question. Mathematically,

$$C_d = \frac{\sum X_{isd}}{\sum_{wd} X_{iwd}} \cdot 100$$

Revealed Comparative Index: The RCA index of country i for product j is often measured by the product's share in the country's exports in relation to its share in world trade: $RCA_{ij} = (x_{ij}/X_{it}) / (x_{wj}/X_{wt})$ Where x_{ij} and x_{wj} are the values of country i's exports of product j and world exports of product j and where X_{it} and X_{wt} refer to the country's total exports and world total exports. A value of less than unity implies that the country has a revealed comparative disadvantage in the product. Similarly, if the index exceeds unity, the country is said to have a revealed comparative advantage in the product.

It helps to assess a country's export potential. The RCA indicates whether a country is in the process of extending the products in which it has a trade potential, as opposed to situations in which the number of products that can be competitively exported is static. It can also provide useful information about potential trade prospects with new partners. Countries with similar RCA profiles are unlikely to have high bilateral trade intensities unless intra-industry trade is involved. RCA measures, if estimated at high levels of product disaggregation, can focus attention on other nontraditional products that might be successfully exported.

Export Specialization Index: The export specialization (ES) index is a slightly modified RCA index, in which the denominator is usually measured by specific markets or partners. It provides product information on revealed specialization in the export sector of a country and is calculated as the ratio of the share of a product in a country's total exports to the share of this product in imports to specific markets or partners rather than its share in world exports: $ES = (x_{ij}/X_{it}) / (m_{kj}/M_{kt})$ Where x_{ij} and X_{it} are export values of country i in product j, respectively, and where m_{kj} and M_{kt} are the import values of product j in market k and total imports in market k.

The ES is similar to the RCA in that the value of the index less than unity indicates a comparative disadvantage and a value greater than one indicates advantage of producing and exporting into the identified markets.

Smart analysis: A Partial Equilibrium Analysis

The study has utilized the SMART (Single Market Partial Equilibrium Simulation Tool) included in WITS Database to calculate the trade liberalization effects (means zero tariffs) on the importer. Despite successive rounds of multilateral, regional and unilateral trade liberalization, some trade barriers (including tariffs) remain highly restrictive in many (both developed and developing) countries. For any government, it is crucial to be able to assess or to pre-empt the impact of different trade policy options. Market access analysis is a useful tool that can be used to anticipate the likely economic effects of various policy alternatives. The rationale for using the market access analysis is to calculate the impact of domestic as well as foreign trade reforms. For domestic policy change, it is often important to determine the distribution of the potential gains and losses from any contemplated policy changes. This will assist in anticipating any adjustment costs associated with reform implementation and when preparing for trade negotiations, market access analysis helps identify the sensitive sectors

where negotiating efforts should be focused. Also, it could be useful in the formation of negotiating coalitions in multilateral/regional negotiations (Amjadi, 2011).

The market access analysis tool included in the WITS package allows the researcher to investigate the impact of unilateral/preferential/multilateral trade reforms at home or abroad on various variables including: Trade flows (import, exports, trade creation and trade diversion), world prices, tariff revenue and economic welfare. The total trade effects are worked out by adding up the price effects (terms of trade effect) and quantity effects of trade by adding the trade creation and trade diversion effects. In addition the total welfare effect, consumer surplus effect and revenue effects of tariff reduction are also worked out. James and Olareagga (2005) explains the SMART methodology in the following mathematical notations:

Domestic prices are given by

$$p_g{}^d{}_{,c} \square p_g{}^w{}_{,c}(1 \square t_{g,c}) \quad \dots \text{ (1)}$$

Where $p_g{}^w{}_{,c}$ is the world Price of good g imported from c, $t_{g,c}$ is the tariff imposed on imports of good g imported from c, and is defined as:

$$t_{g,c} \square t_g{}^{MFN}(1 \square \square_{g,c}) \quad \dots \text{ (2)}$$

Where $t_g{}^{MFN}$ is the Most Favored Nation (MFN) tariff imposed on good g, and $\square_{g,c}$ is the tariff preference ratio on good g when imported from country c.

From equation 2, $1 \square t$ g,c

$$\square_{g,c} \frac{\square}{\underline{\hspace{2cm}}} t_g{}_{MFN}$$

Trade Creation

Trade creation is defined as the direct increase in imports following a reduction on the tariff imposed on good g from country c.

To obtain this, SMART uses the definition of Price elasticity of import demand as:

$$dm_{g,c}/m{}_{g,c} \square 0 \quad \dots \text{ (3)}$$

$$\underline{\hspace{3cm}}$$

$$\square_{g,c} \square dp{}_{dg,c}/ \; p_{dg,c}$$

Solving 3 for $dm_{g,c}$ we obtain the trade creation evaluated at world prices and associated with the tariff reduction on good g when imported from country c.

$$_w dm_{g,c} \square p_{gw,c} \square_{g,c} m_{g,c} \quad dt_{g,c} \square \square_{g,c} m_{g,c} \quad dt{}_{g,c} \quad \dots \text{ (4)}$$

$$TC_{g,c} \square p_{g,c}$$

$$\underline{\hspace{3cm}}$$

$$(1 \square t_{g,c}) \; (1 \square t{}_{g,c})$$

Equation 4 defines the extent of trade creation on imports of good g from country c.

If the tariff reduction on good g from country c is a preferential tariff reduction (i.e. it does not apply to other countries, then imports of good from country c are further going to increase due to the substitution away from imports of g from other countries that becomes relatively more expensive. This is the definition of trade diversión in the SMART model.

In order to measure trade diversión, let us use the definition of the elasticity of substitution, $\square_{g,c} \square$ across imports of good g from country c and all other countries except c:

$$\square m_{g,c} \square \overline{m}{}_{g,c}$$

$$\square_{g,c} \square \square d \square \square \square \square m_{gd,\square c} \square \square \square \square \square m \; p_{ggd,,\square c} \; c \square 0$$

$$p_{g,c}$$

$$d \square \square \square$$

$$p_{gd,\square c} \square \square \square$$

$$p_{gd,\square c}$$

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$$TD_{g,c} \square dm_{g,c} \square m_{g,\square c} m_{g,c} \, dt_{g,c} \square_{g,c\square c}$$

$$\frac{\qquad}{m_{g,\square c} m_{g,c} \, 1 \square t_{g,c}}$$

Gravity Analysis

Baier and Bergstrand (2001) in his gravity formulation (derived below) include among traditional variables (size of trading partners and distance and other trade cost), include term $s_i * s_j$ as indicator of dispersion of income between two countries and prices of traded goods in exporting and importing countries. The study also uses variant of Baier and Bergstrand gravity formulation derived below. Beginning with general gravity equation given as,

$$YY \square_t \square_{1\square\square}$$

$$X_{ij} \square Y_{ij} \square\square \, PP_{iij\,j}$$

$$\square_{\square\square w \square}$$

Where $\square$ elasticity of substitution is, $PP_i \quad _j$ are multilateral resistance factors.

$$t_{ij} \square b_{ij} (d_{ij}) \square$$

b_{ij} is all other trade costs and d_{ij} is distance cost and $\square\square 1$.
Trade costs have negative impact on trade. So,

$$U \square \square_{i\square 1}^{C} \square_{j\square 1}^{N_i} d_{ij}^{K} \square^{\square\square 1} \square_\square$$

There are C countries and each is producing N_i varities. The utility derived by consuming such varieties in the jth country is given by equation. Assume that prices are same for each variety i.e.

$C_{ij}^k \square C_{jk}^i$. Now consumer problem is given by maximize utility function subject to,

$$Y_j \square \square_{i\square 1}^{C} N_i C_{ij} P_{ij}$$

The maximization function is given by,

$$\square_{c\square\square 1} \square\square\square\square Y_j \square_\square \square_c N_i C_{ij} P_{ij} \square\square L \square N_i$$

$$(C_{ij})$$

First order conditions becomes:

$$a \square \square \frac{\square L}{\square C_{ij}} \square 0, \; b \square \frac{\square}{\square\square} \square 0, \; c \square \frac{\square}{\square C_{ij}} \square 0$$

a and b conditions show :

$$N_i \square \square\square\square\square\square 1 \square\square C_{ij} \square\square\square\square 1 1 \square \square\square\square NPNP_{1i\,1\,ij\,j}$$

$$\frac{\qquad}{N_1 \square\square\square\square\square\square 1 \square\square\square C_{ij} \square 1}$$

$$\square 1 \square$$

$$\square\square C_{ij} \square^{\square} \square\square\square\square P P_{1ijj} \square\square\square\square$$

$$\square\square\square C_{1j} \square\square\square \quad \square$$

Now from condition c,

$$C_{ij} = P_{ij} \cdots P_{1j} C_{1j}$$

$$Y_j = \sum_{i=1}^{c} N_i P C_{i\ ij} \qquad ij$$

Putting the value of C_{ij}

$$Y_j = \sum_{i=1}^{c} N_i P_{i\ ij1} \cdots P_{1} C_{1j}$$

$$P_j = \left[N_i P_{i\ 1} \cdots 1 \right]^{\frac{1}{1}}$$

$$Y_j = P_{j1} \cdots P_{1j} C_{ij}$$

$$C_{ij} = P_{j\ 1} b_{ij} \cdots Y_j$$

Now coming to the trade part,

$$X_{ij} = N_i P C_{ij\ ij}$$
$$= N_i P T_{i\ ij} C_{ij}$$
$$X_{ij} = N P T C_{i\ i\ ij\ ij} = N P T P_{i\ i\ ij\ j1} \cdots P_1 \cdots T_{ij} \cdots Y_{ij}$$
$$X_{ij} = N_i (P_i)_1 \cdots P_{j\ 1} Y_j$$
Where Y_i is the

income in the ith country.

$$YY_i \cdots T_{ij} \cdots 1 \cdots 1 \cdots YY \cdots Y_{j-} \cdots T P_{ijj} \cdots 1 \cdots$$
$$X_{ij} \cdots - \cdots P_j \cdots P_i\ P_i P Y_i$$

$$\log X_{ij} = \log YY_{i\ j} (1 \cdots) \log T_{ij} \cdots \log P_i (\cdots 1) \log P_j$$

$$YY_{i\ j} = (Y_i \cdots Y_j)_2 S S_{i\ j}$$

Now the basic Baier and Bergstrand equation can be written as:
$$\log X_{ij} = 2 \log(Y_i \cdots Y_j) \cdots \log s_i s_j \cdots (1 \cdots) \log T_{ij} \cdots \log P_i (\cdots 1) \log P_j$$

$$s_i = Y_i$$

$$\overline{Y_i \cdots Y_j}$$

$$S_i S_j \Big/ \sqrt{2} S_{2i} S_{2j} \sqrt{2} S_i S_j$$

Thus, value of trade is the function of GDP, Dispersion, Trade Cost, Prices in exporting and importing. Here X_{cif}^{ij} is the real flow of bilateral trade between importing country j and exporting country i, $Y_i \cdots Y_j$ is the sum of the real GDPs of two country and its impact on growth of trade is expected to be positive, $s_i s_j$ is the product of shares of two countries which is equivalent to

Helpman's size dispersion index and its expected sign is positive. Sum of GDPs represent in growth of nation's economy, thus increasing the trade flow among two countries. The product of shares captures the effect of income convergence, which is assumed to augment trade flow growth. Trade costs T_{ij} enter with negative coefficients because these factors increase the resistance in international trade and promote intra-national trade. The prices of exporting and importing countries are expected to have a negative effect on growth of trade.

Hypothesis for the Analysis
Following are the hypothesis and expected relations from the gravity analysis:
Sum of GDPs (sizes) matter for imports of country. Positive sign is hypothesized

Distance is negatively related to imports. Greater distance means larger transportation cost, maybe higher language barriers, no common borders and limited access to each other's goods because of limited open regionalism.

Lower is the inter country dispersion of income (si*sj) higher is the trade between countries (Helpman and Krugman, 1985).

Larger are the tariffs, lower will be the imports as tariffs are trade costs

Higher prices in reporter country increases imports while lower prices in partner country lower imports.

Higher the price in the exporter's country more is the incentive to supply CSG goods abroad.

Empirical results

The empirical analysis of the study has been further divided into three sub-sections as per the study's objectives. In the first sub-section, calculation of various trade indices has been presented. Second sub-section explains the results of SMART analysis and provides economic interpretation to the results. The last sub-section shows the gravity analysis results and presents the trade potential of sample countries in CSGs.

Calculation of Trade Indices

To accomplish the first objective of the study, trade índices have been calculated for ecuador for CSGs. Firstly, the figures of competitiveness index for various groupings have been estimated. Table 2 shows the results of competitiveness index for the variouis groupings. Most of the regions have improved on their competitiveness in 2008 as compared to 2002. However, for MERCOSUR the value is below one indicating that they are net importer of CSG goods.

Table 2: Competitiveness Index for Selected Regions							
Regions/Years	2002	2003	2004	2005	2006	2007	2008
ASEAN	2.7870	2.9180	3.1302	3.1811	2.9614	2.8809	2.6862
APTA	7.0068	7.0996	7.8059	9.2630	10.6568	11.7677	14.0080
ESCAP	13.8172	13.226	14.1334	14.6048	14.8949	15.9305	17.2092
SAARC	0.0223	0.2882	0.3240	0.4394	0.6331	0.6797	0.8978
NAFTA	10.7136	8.8166	8.9480	8.7748	8.5791	9.3247	7.9984
EU	17.1975	17.7767	16.9308	16.8200	17.4226	18.5583	18.8394
MERCOSUR	0.3874	0.3851	0.4094	0.4528	0.5342	0.5493	0.5143
Source: Author's Calculation							

Further, the results of RCA index in Table 3 reveals that there are two products in which Ecuador has a comparative advantage in production in 2010. These two industrial codes have RCA>1 in 2010 and hence Ecuador has a comparative advantage in the production of such products. These products are 732111 consisting, Solar driven stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non- electric Domestic appliances, and parts thereof, of iron or steel and 732190 consisting Stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non-electric Domestic appliances, and parts thereof, of iron or steel.

Table 3: Revealed Comparative Analysis for CSG Products for Ecuador in 2009 and 2010.			
Reporter Name	Year	Product Code	RCA
	2009	732111	21.3407

	2009	732190	0.9324
	2009	841940	0.4864
Ecuador	2009	850163	0.7601
	2010	732111	14.9076
	2010	732190	4.1008
Note: Please note that Ecuador has advantage in the production of CSG Products 732111 and 732190 in 2010.			
Source: Author's Calculations from WITS database.			

To know the export specialization in CSGs, the Export Specialization index has been calculated and results are presented in Table 4. It identifies the markets for two of the CSG products in which Ecuador has an advantage in production. They are Chile, Columbia and Peru in 2010.The export specialization (ES) index is a slightly modified RCA index, in which the denominator is usually measured by specific markets or partners. It provides product information on revealed specialization in the export sector of a country and is calculated as the ratio of the share of a product in a country's total exports to the share of this product in imports to specific markets or partners. A Value greater than one indicates advantage of producing and exporting into the identified markets.

Table 4: Export Specialization Index for Specialized CSG Products for Ecuador in 2010				
Country				
From	To	ES Index Value	Industry Code	Product Description
Ecuador	Chile (CHL)	1.1882	732111	Solar driven stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non- electric domestic appliances, and parts thereof, of iron or steel.
	Peru (PER)	1.2300	732190	Stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non-electric domestic appliances, and parts thereof, of iron or steel.
	Peru (PER)	1.3135	732111	Solar driven stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non-electric domestic appliances, and parts thereof, of iron or steel.
	Colombia (COL)	1.9122	732111	Stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non-electric domestic appliances, and parts thereof, of iron or steel.
Notes: Text in brackets are the country codes.				
Source: Author´s work in WITS				

Further, with the help of product concentration index calculated in Table 5, one can see the greatest product concentration in Ecuador's total exports of CSG products lies in product 732111(0.42).

Table 5: Product Concentration (PC) of CSG Products in Ecuador's Exports for the year 2010

Industry Code	PC	Industry Code	PC
392010	0.0115	847989	0.0222
392690	0.0124	848340	0.0003
730820	0.0004	850161	0.0005
730900	0.0024	850162	0.0008
732111	0.4214	850163	0.0003
732190	0.0336	850300	0.0015
841182	0.0028	850440	0.0016
841869	0.0029	853710	0.0018
841950	0.0007	853931	0.0004
841989	0.0020	903210	0.0011
Source: Author's work in WITS			

Trade Liberalization of CSG Products: SMART Analysis in WITS

SMART reports the results of any trade policy shock on a number of variables. In particular, it reports the effects on trade flows (i.e. imports from the different sources). It also decomposes those trade effects in trade creation and trade diversion. Trade creation is defined as the direct increase in imports following a reduction on the tariff imposed on good g from country c. If the tariff reduction on good g from country c is a preferential tariff reduction (i.e. it does not apply to other countries, c), then imports of good g from country c are further going to increase due to the substitution away from imports of good g from other countries that becomes relatively more   expensive. This is the definition of trade diversion in the SMART model. For exporting countries, total trade effect is made of trade diversion and trade creation. In SMART, beneficiaries of the tariff reduction enjoy both positive diversion effect and positive creation effect while all other partners will suffer from negative diversion effect and no trade creation effect. In the SMART modeling framework, a change in trade policy (say preferential tariff liberalization) affects not only the price index/level of the composite good but also the relative prices of the different varieties. Despite the export supply elasticity, the import demand elasticity and the substitution elasticity[24], it will lead to changes in the chosen aggregate level of spending on that good as well as to changes in the composition of the sourcing of that good. Both channels affect bilateral trade flows. The values will depend on import demand elasticity, substitution elasticity and supply elasticity.

For this study, SMART Analysis helps us to establish whether it is beneficial to liberalize
Ecuadorian CSG trade with the Japan, the US, the China and with EU 27 (the main suppliers (exporters) of CSG products) rather than MERCOSUR countries.

Simulation I: Liberalization of CSG Trade with MERCOSUR Countries in 2010

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[24] Import Demand Elasticity: Values used by default in SMART have been empirically estimated for each country and every HS 6digit product. For more details see Hiau LooiKee, Alessandro Nicita and Marcelo Olarreaga, 2008. "Import Demand Elasticities and Trade Distortions," The Review of Economics and Statistics, MIT Press, vol. 90(4), pages 666-682, 07.
Substitution Elasticity: It is the vale of substitution elasticity between partners. Substitution elasticity entails a product by product simulation, which is based on the assumption that any product is independent of another product. SMART uses 1.5 as the default value. However, one can change this default value. It is recommended to keep it at 1.5 for industrial products but to increase it for primary goods. The reason being that the higher the substitution elasticity, the higher the substitutability of the same product from different suppliers. However, the more sophisticated a product is, the higher its rigidity of being substitutable.
Export Supply Elasticity: It is the value of export supply elasticity. By default, SMART uses 99 for an infinite elasticity for all products and partners. The reason being that we are dealing with a single-country simulation tool, so one country is too small compared to the rest of the world in order to have an impact on the price level. However, if you consider imports of a certain product from a bigger entity (like the European Union) to be relatively high and have a real impact on the world price level, you can lower the supply elasticity.

The first simulation is the liberalization impacts of zero tariffs on imports of CSG from the rest of the nine MERCOSUR countries. We summarize the results in Tables 6 through 8 (Simulation I). Table 6 gives the total trade effect (sum of price-terms of trade effect, and quantity effects-trade creation and trade diversion effects) of tariff liberalization undertaken by Ecuador in context of MERCOSUR countries (simulations) in 2010. Price effects in these simulations are zero because we assume Ecuador to be the 'small country'. Colombia gains the most in terms of total trade effects followed by Argentina and Peru. Chile has negative total trade effects because Chile already has a free trade policy with most of its Latin American Partners. Total trade effect for the US is negative and relatively higher as there is trade diversion from US to MERCOSUR countries for trade in CSG goods. For saving space the trade diversion impact on all countries is not shown.

Table 6: Trade Creation, Trade Diversion and Total Trade Effects of Tariff Liberalization with MERCOSUR Countries only for CSG Imports					
Country	Trade Total Effect	Trade Creation Effect	Trade Diversion Effect	Old Simple Duty Rate	New Simple DutyRate
Argentina	283.918	163.449	120.469	3.05	0.00
Bolivia	2.521	1.301	1.220	1.90	0.00
Brazil	407.221	266.318	140.903	3.10	0.00
Chile	-35.802	0.000	-35.802	0.00	0.00
Colombia	3,856.045	2,526.573	1,329.472	8.30	0.00
Paraguay	0.152	0.076	0.076	3.39	0.00
Venezuela	73.243	35.232	38.011	9.33	0.00
Uruguay	0.506	0.285	0.222	1.52	0.00
Peru	224.942	118.401	106.541	7.26	0.00
United States	-637.852	0.000	-637.852	7.01	7.01
Spain	-74.646	0.000	-74.646	7.85	7.85
United Kingdom	-16.162	0.000	-16.162	6.29	6.29
Mexico	-183.279	0.000	-183.279	5.97	5.97
Italy	-110.727	0.000	-110.727	7.27	7.27
Germany	-106.627	0.000	-106.627	7.61	7.61
China	-305.511	0.000	-305.511	6.73	6.73
India	-12.172	0.000	-12.172	6.15	6.15
World	3,111.634	3,111.634	0.000	6.44	5.18
Notes: i) Price effects are zero as we assume that Ecuador is 'Small Country'; ii) Figures are in thousand USD except duty rates.					
Source: Author's work in WITS.					

The total trade effect on the World is 3111.64 1000 US $. SMART also calculates the impact of the trade policy change on tariff revenue, consumer surplus and welfare. A tariff revenue change on a given import flow is computed simply as the final Ad Valorem tariff multiplied by the final import value minus the initial Ad Valorem tariff multiplied by the initial import value. It should be noted that tariff revenue change is made of two opposite effects:

A tariff revenue loss at constant import value, which corresponds to a transfer from the state to consumers and is equal to $Q0*(t0-t1)$; and

A tariff revenue gain through the increase in imports which enlarges the tax base and is equal to $(Q1-Q0)*t$.

Using SMART internal import demand elasticity values, the tariff liberalization simulation returns a negative tariff revenue change (that is revenue gain from increased imports not enough to dominate revenue loss due to tariff decrease) in most cases. Further, the Welfare Effect defined as the benefits consumers avail in the importing country derived from the lower domestic prices after the removal or reduction of tariffs. Table 7 below shows that the welfare effects of tariff liberalization for CSG products.

Table 7: Revenue and Welfare Effects of CSG Liberalization undertaken by Ecuador with MERCOSUR Countries				
Product Code	Welfare Effect	Revenue Effect	Trade Total Effect	Trade Value
csgcomb	351.763	-2,276.697	3,111.634	252,746.147
Notes: i) Figures are in thousand USD ; ii) csgcomb is a name of product group created for simulation in WITS.				
Source: Author's work in WITS.				

The welfare effect works out to be 351.76 thousand US $ while the total imports before tariff reduction is 252,746.147 thousand US$. The revenue effect works out to be -2,276.697 thousand US $. The total import change is 3111.634 thousand US$ due to reduction in tariffs on imports of

CSG from MERCOSUR.

Table 8 below shows the tariff change in revenue of -3029.456 thousand dollors while the consumer surplus due to reduction in tariffs on CSG coming from MERCOSUR countries. This work out to be 180.812 thousand US dollars.

Table 8: Consumer Surplus and Tariff Change in Revenue for Ecuador after its liberalization with MERCOSUR in Trade in CSG Products					
Imports Before	Import Change	Tariff Revenue	New Tariff Revenue	Change In Tariff Revenue	Consumer Surplus
252,746.147	3,111.634	16,282.010	13,252.550	-3,029.456	180.812
Notes: Figures are in thousand USD.					
Source: Author´s work in WITS					

Simulation 2: Liberalization of CSG trade with US, Japan and China

This simulation defines the liberalization of CSG trade with the main suppliers of CSG goods, i.e., the US, Japan and China. Table 9 below shows the trade creation, trade diversion and total trade effects of liberalization of CSG trade with the main suppliers of CSG goods, i.e., the US, Japan and China (Simulation 2). The highest total trade effect occurs in the US of the tune of 8023.8 thousand US$ followed by China worth 5338 thousand US$ while the country which has the highest negative total trade effect is Columbia (-787.63 thousand US$). Mexico has total negative trade effect of -379.09 thousand US$ while Germany is the most affected country in Europe of the tune of -369.29 thousand US$. The total import price change with all countries is 9702.19 thousand US$.

Table 9: Trade Creation, Trade Diversion and Total Trade Effects of Tariff Liberalization of CSG Trade with China, Japan and the US for Simulations Undertaken by Ecuador in in 2010					
Country	Trade Total Effect	Trade Creation Effect	Trade Diversion Effect	Old Simple Duty Rate	New Simple DutyRate
China	5,338.083	3,870.511	1,467.572	6.73	0.00
Japan	407.789	261.120	146.669	5.10	0.00
UnitedStates	8,023.866	5,570.565	2,453.301	7.01	0.00
Argentina	-149.808	0.000	-149.808	3.05	3.05
Bolivia	-0.777	0.000	-0.777	1.90	1.90
Brazil	-288.973	0.000	-288.973	3.10	3.10
Chile	-106.380	0.000	-106.380	0.00	0.00
Colombia	-787.637	0.000	-787.637	8.30	8.30

Peru	-59.719	0.000	-59.719	7.26	7.26
Paraguay	-0.140	0.000	-0.140	3.39	3.39
Uruguay	-0.450	0.000	-0.450	1.52	1.52
Venezuela	-26.459	0.000	-26.459	9.33	9.33
Canada	-124.123	0.000	-124.123	6.50	6.50
Germany	-369.291	0.000	-369.291	7.61	7.61
Italy	-317.928	0.000	-317.928	7.27	7.27
Mexico	-379.093	0.000	-379.093	5.97	5.97
Spain	-292.742	0.000	-292.742	7.85	7.85
Taiwan, China	-112.799	0.000	-112.799	6.53	6.53
World	9,702.196	9,702.196	0.000	6.44	2.85
Notes: i) Price effects are zero as we assume that Ecuador is 'Small Country'; ii) Figures are in thousand USD except duty rates.					
Source: Author's work in WITS.					

Table 10 below gives the revenue and the welfare effects of tariff liberalization undertaken by Ecuador (simulations only) with respect to China, Japan and the US. The Welfare effect works out to be 786.20 thousand dollars for Ecuador. The figure is higher (more than double) with what it was when Ecuador liberalized its trade of CSG products with the MERCOSUR countries.

Table 10: Revenue and Welfare Effects of CSG Liberalization undertaken by Ecuador (Simulations Only) with China, Japan and the US in 2010			
Welfare Effect	Revenue Effect	Trade Total Effect	Trade Value
786.220	-7,274.732	9,702.196	252,746.147
Notes: Figures are in thousand USD.			
Source: Author's work in WITS.			

Table 11 shows that consumer surplus effect is higher than when Ecuador liberalized its trade of CSG with MERCOSUR countries.

Table 11: Simulation Results: Consumer Surplus and Tariff Change in Revenue for Ecuador after its liberalization China, Japan and the US in Trade in CSG Products					
Imports Before	Import Change	Tariff Revenue	New Tariff Revenue	Change In Tariff Revenue	Consumer Surplus
	9.702.196	16,282.010	7,491.704	-8,790.301	450.986
Notes: Figures are in thousand USD.					
Source: Author´s work in WITS					

Simulation 3: Liberalization of CSG trade with EU27

Table 12 indicates that Germany, Italy and Spain are the greatest gainers due to liberalization of Ecuadorian trade with EU27. The total trade effect for Germany works out to be 2686.755 thousand US\$ (export surge), followed by Italy of the tune of 2035.086 thousand US\$ followed by Spain of the tune of 1362.69 thousand US \$. United States, Columbia and China are the countries who have the greatest trade diversion effects because of preferences given by Ecuador to EU27 countries. The total trade effect (total import surge with respect to all countries) works out to be 5601.571 thousand US \$.

Table 12: Trade Creation, Trade Diversion and Total Trade Effects of Tariff Liberalization of Ecuadorian CSG Trade with the EU 27 for Simulations Undertaken by Ecuador in in 2010.					
Country	Trade Total Effect	Trade Creation Effect	Trade Diversion Effect	Old Simple Duty Rate	New Simple DutyRate
Sweden	286.873	179.537	107.336	6.06	0.00
Spain	1,362.694	880.241	482.453	7.85	0.00
Netherlands	472.833	321.712	151.121	6.60	0.00

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Italy	2,035.086	1,277.382	757.704	7.27	0.00
Germany	2,686.755	2,089.803	596.952	7.61	0.00
Argentina	-75.200	0.000	-75.200	3.05	3.05
Australia	-7.953	0.000	-7.953	6.29	6.29
Austria	45.128	21.019	24.109	4.92	0.00
Belgium	396.383	277.261	119.121	7.11	0.00
Bolivia	-0.645	0.000	-0.645	1.90	1.90
Brazil	-110.155	0.000	-110.155	3.10	3.10
Bulgaria	0.020	0.010	0.009	3.13	0.00
Canada	-31.145	0.000	-31.145	6.50	6.50
Chile	-52.725	0.000	-52.725	0.00	0.00
China	-475.419	0.000	-475.419	6.73	6.73
Colombia	-319.996	0.000	-319.996	8.30	8.30
UnitedKingdom	362.098	241.962	120.136	6.29	0.00
UnitedStates	-928.260	0.000	-928.260	7.01	7.01
Uruguay	-0.635	0.000	-0.635	1.52	1.52
Venezuela	-7.869	0.000	-7.869	9.33	9.33
World	5,601.571	5,601.571	0.000	6.44	4.65
Notes: i) Price effects are zero as we assume that Ecuador is 'Small Country'; ii) Figures are in thousand USD except duty rates.					
Source: Author's work in WITS.					

Table 13 shows the consumer surplus effects of liberalization equivalent to 310.696 thousand US$, an amount less than when Ecuador liberalized CSG trade with China, Japan and the US, but more than when Ecuador liberalized its trade with MERCOSUR countries

Table 13: Consumer Surplus and Tariff Change in Revenue Effects of Liberalization of Ecuadorian CSG Trade with EU27 Countries					
Imports Before	Import Change	Tariff Revenue	New Tariff Revenue	Change In Tariff Revenue	Consumer Surplus
252,746.147	5.601.571	16,282.010	12,016.081	-4,265.925	310.696
Notes: Figures are in thousand USD.					
Source: Author´s work in WITS					

Table 14 shows the welfare effects of liberalizing Ecuadorian CSG trade with EU27 Countries.

The amount works out to be 534.350,1000 US$, less than when Ecuador liberalized its trade with China, Japan and the US, but more than when it's liberalized its trade with Mercosur Countries.

Table 14: Welfare and Total Trade Effect of Liberalizing Ecuadorian CSG Trade with EU27 Countries				
Product Code	Welfare Effect	Trade Total Effect	New Weighted Rate	Old Weighted Rate
csgcomb	534.350	5,601.571	4.65	6.44
Notes: i) Figures are in thousand USD except rates ; ii) csgcomb is a name of product group created for simulation in WITS.				
Source: Author's work in WITS.				

Gravity Analysis

The gravity analysis has been utilized to explain the basis of trade of CSG between Ecuador and countries in MERCOSUR (nine excluding Ecuador), EU27, NAFTA (03 countries), East Asia (11) and India in 2010. We do this regression exercise on cross sectional data for 2010. Gravity

Analysis helps us to explain basis of trade of merchandize and services. Gravity model examines the role of tariff barriers, inter country dispersion of income, prices, trade costs,

preferential trading arrangements, trade resistance terms, inflations, economic size and endowments, general policy environment and overall infrastructure, distance between trading partner, membership of multilateral agreement, foreign direct investments, common language and borders, common colony, among others on trade of merchandize and services. For Example Gravity Model can explain what is the basis of trade in Climate Smart Goods (64 goods list defined by the UNESCAP). CSG are defined as components, products and technologies which tend to have relatively less adverse impact on the environment. CSGs constitute low carbon technologies such as solar photovoltaic systems, wind power generation, clean coal technologies and energyefficient lighting.

The study has utilized variant of the Baier and Bergstrand (2001) Gravity formulation.

The study uses gravity analysis which explains log of imports as a function of log of sum of GDPs of the trading partner, log of distance (capturing trade cost in the form of transportation cost, maybe language barriers, common border and common preferential trading arrangement), log of inter-country dispersion (log of si*sj), log of tariffs-weighted applied tariffs log (1+tariffs) and log of prices in reporting (importer country) and log of prices in partner (exporter country).

All variables explaining imports of Ecuador of CSG to and from its trading partners come with the usual sign except partner countries prices (See Table 15). May be CSG goods which have relatively low tariffs are traded at free trade prices and lower prices increases import demand. All are statistically significant except tariffs. R^2 is 0.66 showing a good fit. White consistent standard errors take care of hetroscedasticity. F-test indicates overall importance of all variables taken together.

Table 15: Regression Results of Gravity Equation Estimation		
Dependent Variable : Log of Imports		
Independent Variable	Coefficient Value	P-Value
Constant	-1.3619	0.8134
Ln tariffs	-0.0671	0.8371
Ln sum of GDPs	4.5814*	0.0000
Ln distance	-1.6028*	0.0000
Ln sisj	4.0256*	0.0001
Ln price importer	1.6175*	0.0099
Ln price exporter	-1.1204*	0.0035
R-Square	0.66	--
Adjusted R-square	0.63	--
D-W Stat	2.2869	--
F-Stat	18.3790*	0.0000
Notes: * represent the coefficients are significant at 1 percent.		
Source: Author's Calculations in Eviews.		

Standardized beta coefficients (not shown) results show that size of trading partner is the most important explanatory variable explaining trade of Ecuador of CSG with its trading partner. Then comes inter country dispersion of income, followed by distance, followed by reporter(importer) country's prices followed by exporter country's prices and then at the last are the tariffs (any way relatively lower for CSG products than what are with respect to total trade of Ecuador or trade of specialized products). Then, why do we need tariff liberalization for CSG goods. Tariff liberalization may lead countries to achieve positive effective protection level if that is in country's interest. Trade in CSG consists mostly of component trade (inputs) to cleaner technologies and thus is also associated with transfer and investment into new technologies. Also, those Latin American countries who have a sufficiently large domestic market to develop cost effective manufacturing capacities at different stages of the supply chain may be more interested in liberalizing imports of certain intermediate products (such as solar cells, silicon ingots, gear boxes, and electronic control equipment). On the other hand, some of the Latin countries including Ecuador may need a certain level of tariff

protection to build up local capacities and probably attract some FDI as well. Also, one cannot undermine the role of tariffs as trade of CSG is component trade (components to clean low carbon technologies) and such products cross custom boundaries many times.

Higher incomes a mean larger demand for climate smart components for cleaner technologies (based on knowledge from research on environmental Kuznetz curve). Higher incomes also lead to generation of resources to adopt cleaner technologies often with higher FDI and better infrastructure. However, in many developing countries a number of non-technological and economic factors stand in a way for deployment of cleaner technologies. These include insufficient technical knowledge and absorption capacity to produce these innovative technologies locally, insufficient market size to justify local production units and insufficient purchasing power and financial resources to acquire the innovative products (Jha, 2009).

The extended gravity model used in the study (Mathur, 2011) analyzed ESCAP countries trade of CSG with host of countries. The study found a weak positive impact of regional trade agreements, mitigation policy and infrastructure on import of CSGs. Perhaps an inclusion of variables such as carbon taxation and domestic regulations would improve the model's explanatory power. Other possible variables including environmental subsidies, funding of environmental research projects, degree of industrialization, privatization and deregulation of markets, domestic standards and certification requirements, and domestic policies related to IPR, all of which could potentially improve the model. However data on such possibly useful variables are not available for a sufficient number of countries in the region. In addition, from the analysis done by Mathur (2011) it appears that language, domestic regulations, and the level of certifications and standards could play a particularly important role in stimulating trade in CSGs. The analysis also showed that tariffs do not appear to play a huge role in determining trade in CSGs.

Trade Potential for Ecuador in CSG Products for the year 2010

The study uses the estimated equation of the gravity model to predict the values of imports (log). If the actual imported values of CSG exceed the fitted values, then we call it import potential for the importing country or export potential for the Exporting Country. The results are shown in Table 16. The first column depicts the import potential of the reporter or the importing country (second column) or the export potential of the Ecuador. Positive values mean positive export potential (for exporters-Ecuador) or import potential (for importers). Ecuador seems to have positive export potential for CSG products with respect to Bolivia, Chile, Colombia, Peru and Singapore. The export potential with respect to its four Latin American

Partners works out to be 34.84 million US $. There is, however, negative potential for exports of CSG to all its Latin American partners taken together (Argentina, Bolivia, Brazil, Chile, Columbia, Paraguay, Peru and Venezuela of the tune of negative 4.9 million. This is because of high negative potential with respect to Venezuela, Argentina and Brazil. These countries may be are more inclined towards exporting the CSG products to Ecuador rather than importing it. SMART analysis had shown that it is more beneficial for Ecuador to liberalize its trade with the China, Japan and the US. Both Ecuador and the trading partners China, Japan and the US gain by such a move. The next table (next section) confirms the same. There is lot of potential gains (for both Exporters and for Ecuador importing the CSG product) if Ecuador liberalizes its trade with the China, Japan, the US and the EU.

Table 16: Export Potential of Ecuador in the year 2010			
Potential	Importing Country	Potential	Importing Country
-18.35.84	Argentina	-95.03	Korea, Rep
487.72	Bolivia	-1573.93	Mexico
-4150.26	Brazil	-9.46	Paraguay

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-862.018	Canada	20942.54	Peru
2383.047	Chile	94.40	Singapore
-438.082	China	-2395.80	United States
10977.05	Colombia	-78399.10	Venezuela
-15.03	Hong Kong		
Source: Author's Calculations in Eviews.			

Export Potential in CSG for Other Countries targeting Ecuador

Table 17 presents the results of the export potential for China, Japan and the US and it works out to be 95 million US $ in CSG. The export potential of the Latin American partners (Columbia, Argentina, Brazil, Paraguay, Uruguay, Chile, Peru, Bolivia and Venezuela) works out to be little more than 13 million US $. This confirms the SMART results earlier that for Ecuador, it is more beneficial for Ecuador to liberalize its CSG trade with the China, Japan, the US and EU27 rather than with MERCOSUR countries. There are more gains for both Ecuador and its trading partners if it liberalizes its trade of CSG with the most efficient suppliers of CSG products, the Japan, the China, EU27 and the US.

Table 17: Export Potential for Other Countries in the year 2010					
Potential	Exporting Country	Potential	Exporting Country	Potential	Exporting Country
3129.99	Argentina	-341.04	Greece	1.96	Peru
57.94	Austria	691.60	Hong Kong	-395.72	Poland
305.90	Belgium	-26.29	Hungary	-467.58	Portugal
25.18	Bolivia	295.57	India	211.12	Romania
14801.86	Brazil	404.86	Indonesia	1376.68	Singapore
-12.62	Bulgaria	-402.86	Ireland	-38.94	Slovak, Rep
-3734.29	Canada	8499.42	Italy	1.57	Slovenia
2276.63	Chile	2646.39	Japan	2596.05	Spain
49086.83	China	852.47	Korea, Rep.	1058.54	Sweden
-7397.70	Colombia	2.24	Latvia	291.89	Thailand
-1.05	Cyprus	-2.76	Lithuania	-521.27	United Kingdom
-181.13	Czech Rep.	-26.38	Luxembourg	44045.36	United States
85.81	Denmark	920.07	Malaysia	182.40	Uruguay
4131.62	Finland	1908.02	Mexico	2.24	Venezuala
-1660.14	France	250.05	Netherland	-14.11	Vietnam
5637.11	Germany	3.23	Paraguay		
Source: Author's Calculations in Eviews.					

Summary and Policy Prescriptions

According to the International Panel on Climate Change (IPCC) there is compelling evidence that GHG emissions cause climate change and that most GHG emissions are due to anthropogenic factors. The changes in climate foreseen towards the end of this century involve a gradual warming of the planet, with a temperature increase ranging from 1.1°C to 6.4°C above pre-industrial levels during the twenty-first century. Therefore, there appears to be a certain urgency to initiate actions to curb global GHG [25] emissions and drastically reduce the unsustainable use of so-called carbon sinks, such as the world's forests and oceans, in order to prevent global temperatures from rising by more than 2°C, which is the rate at which climate change can still be managed. This study details various policies including trade and investment policies in CSG to limit climate change.

The study considers a 64 goods list of CSG floated by the UNESCAP- APTIR (2011), basically constituting low carbon emanating industries. Access to CSG is very important for implementation of various strategies of technological transformation deemed necessary to mitigate climate change. For example, CSGs consists of articles of iron and steel and

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[25] A gas that "traps" infrared radiation in the lower atmosphere causing surface warming; water vapor, carbon dioxide, nitrous oxide, methane, hydrofluorocarbons, and ozone are the primary greenhouse gases in the Earth's atmosphere.

aluminum, machinery and mechanical appliances, electrical machinery equipment, ships, boats and floating structures, glass and glass ware articles, among others. One of the subcategories of CSGs clean coal technology which aims to improve energy efficiency and reduce environmental impacts, including technologies of coal extraction, coal preparation and coal utilization. Wind technology another sub category of CSGs focuses on wind energy generation and is composed of three integral components: the gear box, coupling and wind turbine. Wind power and turbine production has experienced stupendous growth over recent years and is now one of the most widespread forms of climate smart technologies. As the Latin American region will have to come to terms with the expected effects of climate change, there is a collective need to increase trade and investment in these goods, which would benefit companies in different parts of the supply chain, and, hence all countries, no matter what their stage of development. The interest in the subject of Trade in Climate Smart Goods was fuelled by Ecuador's positive trade balance with the rest of the Andean Community and MERCOSUR region in 2010.

One, however, would like to establish with more certainty the association of various policies that have been put in place to help mitigate climate change and trade pattern changes. The study looks closely at the trade indices, worked out for Ecuador's total trade, CSG trade and specialized products and uses gravity analysis which help in finding the export potential for trade in CSG and other products. As Ecuador in the Latin American region probably continues to design policies more conducive to fostering climate smart development, their domestic capacity to meet the increased domestic demand for climate smart goods and services, and then foreign demand through exports, is likely to increase. Depending on the relative strengths of the incentives between those in the region and outside, trade flows and patterns of the region is being affected possibly by reorienting the Ecuadorian trade more towards the intra-regional focus and hence the positive trade balance with the ANDEAN and MERCOSUR region. Whatever may be the exact reason, one thing which surely comes out of the study is that for Ecuador it will be better to liberalize CSG trade with the leading suppliers of the CSG goods, the China, Japan and the US.

In particular, Ecuador had a comparative advantage in the production of two Industries out of 64 goods list. These industries are 732111 consisting Solar driven stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gasrings, plate warmers and similar non-electric domestic appliances, and parts thereof, of iron or steel and 732190 consisting Stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non-electric domestic appliances, and parts thereof, of iron or steel.

These industries have potential for greater trade and inward foreign direct investment.

The study identifies the markets for the same using the Export Specialization Index. These are Chile, Columbia and Peru. Gravity analysis helps us to work out the export potential of Ecuador for 64 goods list of CSG. The export potential of Ecuador to four Latin American –Bolivia, Chile, Columbia and Peru is 34.79 million US$. However, the greater potential lies with the other countries marketing the CSG goods in Ecuador. These countries include the most efficient suppliers of CSG goods, the China, Japan and the US.SMART results confirm that Ecuador will gain more (in terms of total trade effect, welfare and consumer surplus effects) by liberalizing its imports of Climate Smart Goods with the China, Japan and the US instead of MERCOSUR and EU27 countries.

Policy Prescriptions

Trade in CSG will help Ecuador to promote alternative industries in the face of global economic downturn. Also, it will help country to look for safe, alternative and reliable energy source rather than believing in trade of crude and petroleum oil only or investing a great deal

in nuclear energy. Ecuador can direct its social spending in promoting small industries which can provide CSG goods at low cost. Based on our analysis and review of studies done on CSG (APTIR, 2011, ICSTD, WTO and World Bank), one may conclude that various national and international policies can be followed by Ecuador and its trading partners to promote trade of CSGs. Further, gravity analysis reinforced the following points:

Keep focusing on increasing growth rates of GDP of all. Larger size promotes trade of CSGs;

Lower inter country dispersion of income for promoting trade of CSG among countries;

Lower trade costs between countries by having open regionalism policies, reduce transportation costs within and between countries, lower border disputes to have open trade between neighboring countries;

Increase prices for exporters and lower prices of CSG goods in importers country by focusing on having sound competition policies, effective legislations for sound environmental policy(say increasing paper less trade and single window clearance as a starting point, carbon tax and regional emission trading system), appropriate regulatory framework, financial infrastructure and investment climate for production of CSGs, employ feed in tariffs for promoting CSGs, have appropriate standards and labels, mechanism of technology transfer, mechanisms to promote CSG trade among countries by coordination and cooperation and promoting R&D activities for CSG products among countries; and

Lower tariffs by small countries in the American Peninsula for imports of CSG from

Ecuador. In particular there is potential to reduce tariffs(Applied duties) by Dijbouti (26%), Belize (15%), Costa Rica (10%), Guaetmala (11.97%), Honduras (9.87%), Nicaragua (12.49%), Cuba (8.99%) and El Salvador (12%).

Countries including Ecuador need to design sustainable and climate smart growth that entails sharply reduced GHG emissions to a level of 450 ppm (or may be lower) and that limits the global temperature rise to not more than 2 degrees Celsius by the end of the century. The study lists such policies and is not confined to trade policies alone. Trade policies related to CSG though are the main focus of this study. The entire set of policies which can reduce GHG emissions and limit climate change can be structured into regulatory measures (including regulations, standards and labeling), economic incentives (including taxes, tradable permits and subsidies conforming to WTO laws and provisions), trade and investment policies and financial, energy and enterprise development policies, among others.

Regional climate-smart value chains could provide new opportunities for many less developed economies in the region to become parts and components suppliers to the leading CSG exporters in Latin American Region and other regions. At the same time, the capacity of domestic SMEs in the area of CSGs should be enhanced so that they can evolve into suppliers of low-carbon products and become effectively integrated with low-carbon value chains.

Potential Barriers

Following are the potential barriers to production, trade and investment of CSG. Ecuadorian governments need to attend to the following points:

Low level of competition; Limited foreign ownership; Inefficient transmission and grid interconnection; Limited access to local financing; Inadequate training and skills to produce CSGs; Weak Intellectual property rights enforcement.

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Appendix

		Appendix Table A1: Climate Smart Goods
1	380210	Activated carbon
2	392690	Articles of plastics & arts. Of oth. mats. of 39.01-39.14, n.e.s. in Ch.39
3	392010	PVC or polyethylene plastic membrane systems to provide an impermeable base for landfill sites and protect soil under gas stations, oil refineries, etc. from infiltration by pollutants and for reinforcement of soil.
4	560314	Nonwovens, whether or not impregnated, coated, covered or laminated: of manmade filaments; weighing more than 150 g/m2 for filtering wastewater.
5	701931	Thin sheets (voiles), webs, mats, mattresses, boards, and similar nonwoven products.
6	730820	Towers and lattice masts for wind turbine.
7	730900	Containers of any material, of any form, for liquid or solid waste, including for municipal Or dangerous waste.
8	732111	Solar driven stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non-electric domestic appliances, and parts thereof, of iron or steel.
9	732190	Stoves, ranges, grates, cookers (including those with subsidiary boilers for central heating), barbecues, braziers, gas-rings, plate warmers and similar non-electric domestic appliances, and parts thereof, of iron or steel.
10	732490	Water saving shower.
11	761100	Aluminum reservoirs, tanks, vats and similar containers for any material (specifically tanks or vats for anaerobic digesters for biomass gasification).
12	761290	Containers of any material, of any form, for liquid or solid waste, including for municipal Or dangerouswaste.
13	840219	Vapor generating boilers, not elsewhere specified or included hybrid.
14	840290	Super-heated water boilers and parts of steam generating boilers.
15	840410	Auxiliary plant for steam, water, and central boiler.
16	840490	Parts for auxiliary plant for boilers, condensers for steam, vapor power unit.
17	840510	Producer gas or water gas generators, with or without purifiers.
18	840681	Turbines, steam and other vapor, over 40 MW, not elsewhere specified or included.

19	841011	Hydraulic turbines and water wheels of a power not exceeding 1,000 kW.
20	841090	Hydraulic turbines and water wheels; parts, including regulators.
21	841181	Gas turbines of a power not exceeding 5,000 kW.
22	841182	Gas turbines of a power exceeding 5,000 kW.
23	841581	Compression type refrigerating, freezing equipment incorporating a valve for reversal of cooling/heating cycles (reverse heat pumps).
24	841861	Compression type refrigerating, freezing equipment incorporating a valve for reversal of cooling/heating cycles (reverse heat pumps).
25	841869	Compression type refrigerating, freezing equipment incorporating a valve for reversal of cooling/heating cycles (reverse heat pumps).
26	841919	Solar boiler (waterheater).
27	841940	Distillingorrectifyingplant.
28	841950	Solar collector and solar system controller, heat exchanger.
29	841989	Machinery, plant or laboratory equipment whether or not electrically heated (excluding furnaces, ovens etc.) for treatment of materials by a process involving a change of temperature.
30	841990	Medical, surgical or laboratory stabilizers.
31	848340	Gears and gearing and other speed changers (specifically for wind turbines).
32	848360	Clutches and universal joints (specifically for wind turbines).
33	850161	AC generators not exceeding 75 kVA (specifically for all electricity generating renewableenergyplants).
34	850162	AC generators exceeding 75 kVA but not 375 kVA (specifically for all electricity generatingrenewableenergyplants).
35	850163	AC generators not exceeding 375 kVA but not 750 kVA (specifically for all electricity generatingrenewableenergyplants).
36	850164	AC generators exceeding 750 kVA (specifically for all electricity generating renewable energyplants).
37	850231	Electric generating sets and rotary converters; wind-powered.
38	850680	Fuel cells use hydrogen or hydrogen-containing fuels such as methane to produce an electric current, through an electrochemical process rather than combustion.
39	850720	Other lead acidaccumulators.
40	853710	Photovoltaicsystemcontroller.
41	853931	Dischargelamps, (ex ultraviolet), fluorescent.
42	854140	Photosensitive semiconductor devices, including photovoltaic cells whether or not assembled in modules or made up into panels; light-emitting diodes.
43	900190	Mirrors of other than glass (specifically for solar concentrator systems).
44	900290	Mirrors of glass (specifically for solar concentrator systems).
45	903210	Thermostats.
46	903220	Manostats.
47	700800	Multiple-walled insulating units of glass
48	730431	Tubes, pipes & hollow profiles (excl. of 7304.10-7304.29), seamless, of circular cross-section, of cold-drawn/cold-rolled (cold-reduced) steel
49	730441	Tubes, pipes & hollow profiles (excl. of 7304.10-7304.39), seamless, of circular cross-section, of stainless steel, cold-drawn/cold-rolled (cold-reduced)
50	730451	Tubes, pipes & hollow profiles (excl. of 7304.10-7304.49), seamless, of circular cross-section, of alloy steel other than stainless steel, cold-drawn/cold-rolled (cold-reduced)
51	840682	Steam turbines &oth. vapour turbines (excl. for marine propulsion), of an output not >40MW
52	841012	Hydraulic turbines & water wheels, of a power >1000kW but not >10000kW
53	841013	Hydraulic turbines & water wheels, of a power >10000kW
54	850239	Electric generating sets n.e.s. in 85.02
55	850300	Parts suit. for use solely/princ. with the machines of 85.01/85.02
56	850440	Staticconverters
57	902830	Electricity meters, incl. calibrating meters therefor
58	903020	Cathode-ray oscilloscopes & cathode-ray oscillographs
59	903031	Multimeters
60	903039	Instruments & app. for meas./checking voltage/current/resistance/power (excl. of 9030.31), without a recording device
61	890790	Floating structures other than inflatable rafts (e.g., rafts (excl. inflatable), tanks, coffer-dams, landing-stages, buoys & beacons)

62	847989	Machines & mech. appls. having individual functions, n.e.s./incl. in Ch.84
63	842129	Filtering/purifying mach. & app. for liquids (excl. of 8421.21-8421.23)
64	842139	Filtering/purifying mach. & app. for gases, other than intake air filters for int. comb. engines

Note: The study is able to define 64 such goods under 6 digit HS code (2002) by putting together various lists that have been defined by various international organizations recently. The list is arrived by defining concordance series from series of list given by the World Bank, ICTSD, WTO, APEC and the OECD. The study consider these 64 CSG as one category and calculates various trade indicators for this category. This list builds on the 43-product list amalgamated by the World Bank, which was tabled as an initial starting point for discussions. The list at UNESCAP proposes an additional 21 products that appeared on one of the recent ICTSD lists (Renewables and Buildings) and also on the APEC, OECD or WTO list. In total, the list comprises of 64 climate smart goods classified by H.S. 2002 codes at the 6-digit level.

Source: UNESCAP, APTIR, 2011

STIMULI AND EFFECT OF THE INTENTION TO LEAVE THE ORGANIZATION

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Abstract

The intent to leave is a commonly studied phenomenon. In this paper, we have studied the intention to leave in two separate folds: Organization and Profession. The determinants and outcomes for these two aspects are identified from present literature. It is postulated that job satisfaction and organizational commitment has organic relationship with intention to leave organization and profession, and these two phenomena relate to intention to leave consistently through almost all determinants and outcomes. Therefore, it is suggested that by intentionally bringing satisfiers and commitment stimulators, organizations can benefit by controlling or eliminating such intentions totally, as they have dangerous effects on individual and organizational performance.

Keywords: Leave, Organization, Profession, Intention

Introduction

Since the end of civil war in 1990, Lebanese organizations have received significant international attention. However, strong competition level has put those organizations under pressure to give employee management high priority as a significant mean to sustain competitive advantage. Thus, in order for firms to retain quality talent with the required skills, it is essential to understand the reasons behind employees' contemplation to leave organization. This paper also tends to resolve the mystery of why people think to leave organization.

Employees are not only aiming to change organizations, but they contemplate leaving professions also. Studies conducted by Storer (2002), and Rosenstein & Russell (2002) exposed that a significant profession like medicine is facing such trouble.

Though, this problem is not limited to professions like medicine, it's widespread in organizations too (Lane & Crane, 2002), for example accountants looking for sales jobs or vice versa.

Theoretically, considerable work has been done to understand the concept of intention to leave, nevertheless, broad analysis of stimuli and implications is rare. This paper is an attempt to present a review of the concept 'intention to leave' organization and profession. It is also suggested that main antecedents of intention to leave organization or profession can be altered and used as satisfiers or stimulators to handle such intention.

Literature review

Intention to leave is a well-studied concept and scholars have explained it in various ways. Intention to leave is defined as the level to which a member contemplates leaving the relationship with current community or employer (Kim, Price, Muller, & Watson, 1996). It can be theorized as manifestation and predictor of real turnover (Cohen & Golan, 2007), according to the theory of planned behavior (Ajzen, 1991) behavioral intention generally is predictor of an actual action. Intention to leave refers to the 'conscious and deliberate willfulness of the employees to leave the organization' (Tett & Meyer 1993) and it is

'individual own estimated subjective possibility or probability of leaving the organization or profession in near future (Bigliardi, Petroni & Ivo Dormio 2005; Mowday, Steer & Porter, 1979; Vandenberg & Nelson 1999). Actually, scholars use intention as a proxy for actual turnover because of difficulties to study it (e.g. Bluedorn, 1982; Johnsrud & Rosser, 1999; Lee & Mowday, 1987; Steers & Mowday, 1981). Tett & Meyer (1993) discovered that intent to turnover establishes the final cognitive phase in the decision making process, in which members actively consider quitting and searching for alternative jobs or professions. Intention to leave is reflected in the thoughts and consequently declarations by the members that they actually want to leave (Park & Kim, 2009). Mobley, Griffith, Hand, & Meglino, (1979) provided four cognitive parts of turnover intent:

1) Thinking of quitting;
2) Planning to stay or leave;
3) Searching for alternative career; and
4) A desire to leave current career.

Management research database search engine is used to extract literature on intention to leave. Hypothesized stimuli and implications in those papers are elicited in the present paper.

It is evident that job satisfaction and organizational commitment appear consistently as one of precedents to establish fundamental relationship of any variable with intention to leave. Nevertheless, because of theoretical complexities, the two concepts and their effect on intention to leave has been addressed distinctly.

Stimuli of intention to leave the organization

Employees' intention to leave can be considered as normal choices made concerning present organization (Steers & Mowday, 1981). The stimuli of intention to leave the organization can be characterized as individual, organizational, and external factors.

Individual Factors

Stress: Increasing level of stress may cause the employee to take the decision to leave (Lofquist & Dawis, 1969; Sheridan & Abelson, 1983). Stress also has been proven to influence indirectly the intention to leave (Bedeian & Armenakis, 1981). Job stress causes dissatisfaction which in turn leads to the intention to leave. Consequently, Elangoven (2001) discovered direct and indirect relationship between stress and intention to leave among students. He found that even though there is circular relationship among studied variables e.g. job satisfaction and commitment, never the less certain stressful job characteristics may directly affect individuals decision to leave.

Demographic characteristics: Many studies tackled the literature on employees in terms of demographic characteristics and turnover intent. Lambert (2006) discovered that gender, tenure, and education level of employees influenced their turnover intent. Women had higher turnover intent than men; he accredited this to job characteristics which involved more masculinity. (Becker, 1960) stated that with increasing tenure, employees intention to leave diminishes as employees "sunken cost" increased i.e. employees became more devoted to the organization. People with greater educational level were found to display greater turnover intent than those with lesser educational level. People with greater educational level observed higher external job occasions.

In literature, age has been a stimulating variable presenting positive relationships (Byrd, et al., 2000; Camp, 1994; Mitchell, et al., 2000; Robinson, Porporino, & Simourd, 1997) as well as negative (Ford, 1995; Jurik & Winn, 1987). Perhaps this is due to its adjacent relationship with tenure.

We may consider that greater age should overthrow the risk taking abilities of an individual, though at the same time since age and tenure increase in tandem, employees with considerable tenure may get better occasions.

Work vs. Family conflict. Observed work-family conflict (WFC) is the level to which work is identified as interfering with home or family life (Frone, 2003) which occurs because of three reasons:

First, when employees fail to manage time

Second, when work is perceived as stressful and exhausting

Third, if behavioral demands (e.g. need of aggression at job though not at home) are dissimilar (Frone, 2003). Nevertheless, family-work conflict is the level to which family duties and responsibilities hinder work obligations (Frone, 2003) due to competitive family and job demands.

According to Role theory (Coser, 1975; Mead, 1934), individuals carry several role identities, work and family roles being the two utmost important ones. Contradiction between these two roles causes negative feelings, leading to a negative appraisal of the source of the threat (Lazarus, 1991). And as employees tend to attribute these stressors to organization and not to themselves (Frone, Russel & Cooper, 1992), it is recommended that in such cases employees are interested to search for alternative job that can propose better work schedule so that they can handle these conflicts (Cohen, 1997).

Locus of Control and self-efficacy: Locus of control refers to the level to which people believe they themselves or external factors, such as coincidence, are in control of the events regulating their lives (Levenson, 1974; Rotter, 1966). People with great internal locus of control are least affected by stressors and consequently tend to stay in the firm (Firth et al., 2003). Also, in a research conducted by Moore (2002), self-efficacy was associated with reduced intention to leave.

Organizational factors

Role ambiguity and role conflict: Role ambiguity is a consequence of weak clarity about the definition of role expectations, and the requirements or methods to complete work related tasks (Rizzo, House, & Lirtzman, 1970). Role conflict arises due to the incompatibility of demands and expectations from the role, where compatibility is measured on the basis of conditions that impact role performance (Rizzo, House, & Lirtzman, 1970).

Role conflict is considered more intense in jobs that require theoretical thinking and decision-making (Menon & Aknilesh, 1994). Role ambiguity and role conflict both can cause an employee to consider leaving the organization. Role ambiguity and role conflict may lead to faster depletion of employees personal resources; afterwards they will strongly try to preserve those resources with intent to use them where they can find job clarity (Hobfall, 1989; 2001). Keller (1975) stated that role conflict and ambiguity are negatively related to perceptions of opportunity related to promotions. Lack of growth opportunities for employees may lead them to search for other jobs.

Career anchors: Organizations are interested to provide internal career incentives in order to reduce employees' intent to leave (Hsu et. al., 2003). Internal career anchors refer to an individual's self-concept, the psychological attractions that serve to guide his or her career and are realized in terms of indirect incentives, such as job security, location, and autonomy. External career anchors refer to the similar set of anchors, though are measured in terms of individuals' perceptions of the organization's concern to satisfy the internal anchors through benefits and incentives (Jiang, & Klein, 2000; Kassicieh, Igbaria, Silver, 1999).

Studies have mentioned that compatibility of internal career anchors with employees' jobs leads to lesser intention to leave their organizations (Crepeau, et. al., 1992; Igbaria, Greenhaus, & Parasuraman 1991). Similarly, other internal career anchors can be supervision,

autonomy, communication, support, authority, promotional opportunity, and input into decision-making (Lambert, 2006) that may affect employees' intention to leave.

Human resource practices and organizational culture: Many potential reasons can explain why HR practices could play a significant role in defining employees' intention to leave. Honest job previews are crucial for new employees as in future their evaluation and expectation of job requirement should be similar (Meyer & Allen, 1991).

Consequently, realistic job previews, even with the risk of losing potentially valuable employees, lessen the chances of occurrence of intention to leave and thus increase job survival rate. Training and initial socialization also play an important role.

New employees, when receiving a considerable relevant training experience, feel confident about their capacity to achieve the given task. This is because they feel important and it also serves as initial encouragement required for essential socialization (Van Maanen & Schein, 1979).

HR practices also affect numerous forms of organizational justice, especially procedural and distributional justice (Barber & Bretz, 2000; Farrell & Rusbult, 1981; Gaertner & Nollen, 1989; Gratton, & Sharpley, 1991; Currall, Towler, Judge, & Kohn, 2005 Lum, Kervin, Clark, Reid, & Sirola, 1998; Tabibnia, Satpute, & Lieberman, 2008). Likewise, organizational culture has influence on individuals' employment decisions (Park & Kim, 2009; Carmeli, 2005). O'Reilly, Chatman, & Caldwell (1991) discussed that employees aim to leave the organization as soon as they discover the cultural misfit.

Social Support and perceived organizational support: Social support is proven to be an essential element that can diminish the intention to leave among employees. Social support from supervisors or seniors decreases the level of exhaustion and indirectly, thus, intention to leave (Hatton & Emerson, 1998; Kalliath & Beck, 2001; Moore, 2002). Witt and associates (Nye & Witt, 1993; Witt, 1991; Witt & Nye, 1992) studied the relationship between perceived organizational support and employees' aspiration to stay with the organization and discovered the relationship to be positive.

External factors

Family structure: Some experimental indications propose that family structure can influence individual behavior via its social control of members (Thornton, 1991) and its direction of members' time and energy (Biblarz & Raftery, 1993; Downey, 1995). However, work-family conflict and family-work conflict are normal outcomes of family structure; nevertheless, its separate influence on employees' intention to leave can be significant. For example, Lee & Mourer (1999) discovered that two-parent households have better supervised children than single-parent situations. Also, employees' with children and dependent wives have lesser odds to consider a job change than those who have working wives and lesser or no children.

Perceived community support: Sometimes, causes related and identified with the organization keeps the employees bonded to it. For instance, Tham (2007) discovered that social workers of various European countries never intended to leave the organizations because of their social reputation and inherent community support. Many studies demonstrate that community members' perceptions of values and interests are an important reason for making joining and survival decisions (Vincent & Thompson, 2002).

Implications of intention to leave the organization: Scholars have established a consistent idea that turnover intention is the final stage before the actual turnover occurs (Bigliardi, Petroni & Ivo Dormio, 2005; Carmeli, 2005; Gregory et. al. 2007; Mobley, 1982; Price, 2001). Nevertheless, a gap may exist between the aroused intention and the actual turnover action. Job 'embeddedness', which may be the opposite of the intention to leave and

the withdrawal behavior, is considered as positively related to performance, citizenship, and reduced absenteeism.

Firing the employee: The intention to turnover does not always lead to voluntary resignation, sometimes it leads to firing the employee. When the employee is in full control of his or her job (Herman, 1973), a slight withdrawal from it can lead to serious loss of productivity (Bowen, 1982). High visibility of productivity loss or absenteeism causes supervisor's attention and therefore leads to firing the employee.

Demoralization among peers: When an employee shares his/her turnover intention with peers, along with options of another position in an external environment, peers may react indirectly by doubting their own stimuli to stay in the organization. This reflective sentiment may increase considerably (Staw, 1980: p. 257). There are more factors leading to this sentiment; for instance, if another position is usually admired among peer group but seldom available, or if the employee with intention to leave belongs to highly cohesive group and has high social status. In such cases, demoralization among peers can be even greater.

Krishnan & Singh (2010) recognized additional three outcomes of intention to leave: OCB, deviant behavior, and performance orientation.

Organizational citizenship behavior (OCB): Procedural and distributive justice are both strong predictors of OCB and intention to leave (Moorman, 1991; Organ & Ryan, 1995; Williams, Pitre, & Zainuba, 2002). With turnover intention, an employee may withdraw from the social system. Therefore, during the interim period of turnover intent and actual turnover, employees may not engage in OC behaviors (Organ, Podsakoff, & MacKenzie, 2006).

Deviant behavior: Bowen (1982) proposed that intention to leave leads to increased absenteeism and thereby lower performance. Behaviors such as calling sick, lying about working hours, ignoring instructions (Aquino, Lewis & Bradfield, 1999) are considered as employees' deviant behavior (Kammeyer, Wanberg, Glomb, & Ahlburg, 2005) in context of immediate stimuli of actual turnover. These behaviors may also arise after the employee has decided to leave.

Performance orientation: It is defined as employees' pursuit for reward (Kohli, Shervani & Challgalla, 1998). These rewards are the result of positive assessment by others.

Performance orientation is vastly linked to a positive appraisal from others (Sujan, Weitz & Kumar, 1994), in which the employee with intention to leave may not be interested. A time lag usually exists between performance and reward (Harrison, Virick, & William, 1996), within which an employee with turnover intent may expect to find another job, thus loosing eligibility for reward. However, unclear but significant relationship exists among turnover intention, performance, and actual turnover (Harrison, Virick, & William, 1996).

Circularity among stimuli and implications

Studying circularity became vital due to two consistent intervening variables: job satisfaction and organizational commitment. Scholars have used these two concepts regularly to explain their arguments about stimuli or implications of turnover intention. The following section of the current paper is an endeavor to comprehend the multidimensional relationship between stimuli and implications of intention to leave. Clugson (2000) examined the relationship between three variables and discovered that job satisfaction is a stimuli of organizational commitment and hence intention to leave.

Hsu et al. (2003) discovered that when employees are provided with desired career anchors, there will be slighter odds for them to have intention to leave. These career anchors will lead to increased job satisfaction and organizational commitment thus slighter turnover intent.

Job satisfaction is considered to have the highest negative correlation with turnover intent (Bannister & Griffeth, 1986; Dalessio, Silverman & Schuck, 1986; Hom, Griffeth &

Sellaro, 1984; Mobley, Horner & Hollingsworth, 1978).   Likewise, organizational commitment implies that employees with greater commitment endure more. Organizational commitment is considered to bear negative correlation with intention to leave (Cohen, 1993).

Preferred career anchors lead to greater job satisfaction and organizational commitment and consequently reduced intention to leave (Hsu et. al., 2003). Stress also shows considerable connection with turnover intent in presence of job satisfaction and organizational commitment. Valle & Perrewe (2000) extended the model of Ferris, Adams, Kolodinsky, Hochwarter & Ammeter (1989) and discovered that perceived organizational politics increased intention to leave because of reduced job satisfaction and organizational commitment. Pay satisfaction (Cotton & Tuttle, 1986; Currall, Towler, Judge, & Kohn, 2005; Griffeth et al., 2000) and supervisory support (Cohen, 1997; Iverson & Roy, 1994) where found to be directly related to turnover intent, some scholars have suggested that it is and indirect relationship also. Other factors, like working conditions, (Hasselhorn, Tackenberg, Müller, 2003) also lead to intention to leave due to dissatisfaction and lack of commitment. It is noticeable that literature on intention to leave has developed with help of job satisfaction and organizational commitment, as it becomes hard to elaborate intention to leave without the presence of satisfaction and commitment construct.

Intention to leave profession; stimuli and implications

A related concept to intention to leave organization is intention to leave profession. Blau (2000) suggested that Intention to quit profession is a much more difficult decision than to quit the organization. Employees' intention to leave can be described as rational choices taken at cognitive end regarding present profession or organization or both (Steers & Mowday, 1981). Work transitions can take place at 5 different levels; entry/re-entry, intra-company (Dalton & Todor,1993), inter-company (Cotton & Tuttle, 1986; Mobley, Griffeth, Hand, & Meglino, 1979), inter-profession, and exit (McCune & Schmitt, 1981; Talaga & Beehr, 1995), each treated differently by scholars, although studies on inter-profession transition are insufficient or not up to date (Louis, 1980).

Professionals are considered as individuals who show certain characteristics for instance, high levels of expertise, autonomy, commitment to work, commitment to the profession, identification with the profession, ethics, and collegial preservation of standards (Kerr, Von Glinow, & Schriesheim, 1977). These characteristics are viewed as obstacles since change of profession is accompanied with loss of income, loss of dignity and therefore lack of family and social support (Neapolitan, 1980). Similar to intention to leave organization, intention to leave profession is also viewed as most proximal variable to actual change of profession (Rhodes & Doering, 1983).

Cotton & Tuttle (1986) recognized three general classes of change intent; external, work related, and personal. External variables are employment perceptions or organizational image, which if negative, originate the intention to leave. Work-related variables are overall satisfaction with the aspects of pay, work, supervision, co-workers, and promotions (which are considered to relate negatively with intention to leave), and task repetitiveness, (which is suggested to relate positively with intention to leave). Personal variables like age, gender, and marital status are also considered to be related to intention to leave.

It is remarkable that nearly every model of intention to change profession hypothesizes job satisfaction or occupational satisfaction as significant antecedent (Mueller & Price, 1990; Rhodes & Doering, 1983). Other than professional satisfaction, Morrow's (1993) proposed that professional commitment is a more stable aspect than organization commitment, and discovered that age and professional commitment were negatively related to intent to quit profession.

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The work of Rhodes & Doering (1983) merits special attention to understand intention to leave. In a seventeen factor model, career satisfaction has been suggested as stimuli to intention to change profession.

Literature gap

A lot of theoretical work has been done on intention to leave, as it is an important issue for organizations. Nevertheless, literature did not mention how can an organization deal with this topic and mould the intentions of employees in their interest. For instance, literature is restricted to simply classifying several organizational and individual antecedents' levels of intention to leave, and does not extend to its application so that organizations can manage the situations when employees start emerging such intentions.

As mentioned formerly, there is theoretical circularity in stimuli and implications of intention to leave. Therefore it is suggested that stimuli of job satisfaction and organizational commitment can perform as measures to control intention to leave. For instance, if organizations handle the source of job stressors, they will automatically contain intention to leave.

Breaking the cycle

Based on the model of Rhodes & Doering (1983), and considering job satisfaction (Mueller & Price, 1990; Rhodes & Doering, 1983) and organizational commitment (Morrow, 1993) as two significant dynamic factors influencing intention to leave, it can be anticipated that the cycle starting with the intention to leave and reaching to actual turnover can be broken by stimulating job satisfiers and commitment boosters.

Job Satisfiers

Job satisfaction is "a pleasurable or positive emotional state resulting from the appraisal of one's job or job experiences" (Locke, 1976). It is all the characteristics of the job and the work environment which employees find "rewarding, fulfilling, and satisfying, or frustrating and unsatisfying" (Churchill. Ford, & Walker, 1974). In a Meta analysis of stimuli and implications of job satisfaction, Brown & Peterson (1993) categorized four groups of satisfiers:

(1) work outcomes; performance
(2) individual differences; demographics, self esteem
(3) role perceptions; role ambiguity, role conflict
(4) organizational variables; supervisory behaviors, job/task characteristics each having unique relationship with job satisfaction.

Employees may be supported to develop their performance through cooperative supervisory behaviors. Organization may also attempt to eliminate role conflict or role ambiguity through numerous means. Those attempts are named 'job satisfiers'.

Commitment boosters

The causal relationship between job satisfaction and organizational commitment has been subject to hypothetical debate. Organizational commitment has been considered as stimuli (e.g. Bateman & Strasser 1984; Idigbaria & Guimaraes, 1993) as well as implication (e.g. Bluedom 1982; Johnston et al. 1990).

Lately, Ariani (2012) suggested a circular relationship between job satisfaction and organizational commitment. Consequently, it may be presumed that stimuli of job satisfaction should influence organizational commitment. On the other hand, Meyer, Allen & Smith (1993) classified the stimuli of commitment into emotional attachment and belief, perceived economic value, and ethical reasons of obligation to organization.

As satisfaction can be a stimulus to commitment, we may presume that satisfiers should also function as boosters. Nevertheless, there are some unique stimuli of commitment that may influence it directly. For instance, culture fit is an important stimulus of commitment (O'Reilly et. at., 1991). Organization can plan culture fit programs (Cameron & Quinn, 1991) to improve member's commitment.

Given the dynamic nature of intention to leave, we suggest that job satisfiers should diminish the influence of dissatisfaction and obstruct the process of transforming intention to leave into actual turnover. Likewise, commitment boosters will improve the chances of a person to stay in organization (Figure 1).

An initial sentiment of dissatisfaction may come with loss of commitment and therefore intention to leave. Prior to any actual change in career or organization, members should prepare themselves (Rhodes & Doering, 1983). During this preparation, an initiation of satisfiers or boosters may give members an opportunity to reconsider the option of staying in the organization. Employees' feelings are unstable; each member may have diverse feelings about his/her organization or profession. Typical induction programs may support organizations or professional bodies to manage explicitly unidentifiable yet existing intentions. Thus, we hypothesize that the objective of the organization to stay above the action threshold may be accomplished with the support of these inducers.

Figure 1
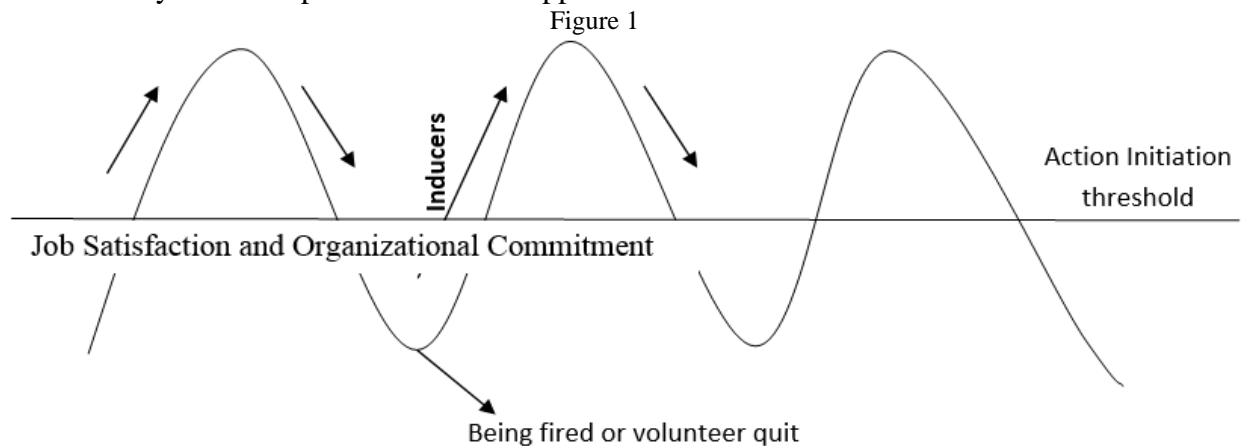
Discussion

The performance of an employee or the dedication of a professional depends upon her/his willingness to abide by the oragnization's objectives. As discussed earlier, there could be many reasons causing the intention to leave; the two most important ones are satisfaction and commitment. Due to the unwillingness to perform which comes along the intention to leave, organizations may want the unsatisfied employee to quit in order to cease the process of peer demoralization, or they can choose to stimulate satisfiers or commitment boosters in order to recover employee's willingness to perform.

Due to its direct negative correlation with performance, the intention to leave is very unfavorable for organizations. It does not only influence negatively the performance of employees, but also has the potential to spoil the positivity of other members of the organization.

Those satisfiers and boosters may be a temporary or a permanent feature in the HR policies of the organization. As there could be internal as well as external factors stimulating the intention to leave, therefore satisfiers and boosters should be designed. In addition, since intention to leave is not always explicit, organizations may offer satisfiers and boosters for all employees without specifying or identifying who has the intention.

This paper simply tries to initiate a thought process to manage the intention of employees that may damage the social fabric of the organization and even the organization

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itself as a whole. It will be optimal to check the proposals in this paper empirically. Not all antecedents to career satisfaction and organizational commitment can be considered as satisfiers or boosters; nevertheless, organizations can choose some of those antecedents to stimuli members to stay in the organization.

Conclusion

The intention to leave is a topic greatly researched as being an immediate antecedent of actual turnover, and an immense important element to organizations. Though, work on managing such intentions in practice is almost unavailable in literature. Consequently, this paper proposes thoughtful and precautious use of satisfiers and boosters, which can be utilized in order to diminish the risk and expected harm from bad intentions like planning to leave.

We cannot simply illustrate conclusions about the effectiveness of satisfiers or boosters; nonetheless, large problems (like attrition) may be managed with experiments at small level. There is a reasonable possibility of failure or such satisfiers and boosters, as they are designed as part of the organizations schemes. Appropriate diagnosis of problems is also necessary to evade failure. Occasionally, organizations encourage employees to change their roles/professions as part of an organizational development plan; in such situations, those satisfiers and boosters may perform successfully.

This paper is an endeavor to examine the problem of intention to leave from a different facet. On the other hand, it may serve as an inauguration of a new step in the road of maintaining talented personnel in organizations or professions.

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FACTORS AFFECTING THE CHOICE OF TANGIBLE FIXED ASSET ACCOUNTING METHODS: THEORETICAL APPROACH

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Abstract

The research is designed to identify factors that determine the management decisions to choose one or the other tangible fixed asset accounting method. The article offers a systematic analysis of factors determining the choice of tangible fixed asset accounting methods that is based on research by Lithuanian and foreign scientists and hypotheses of the positive accounting theory. The research produced a theoretical result: it identified groups of factors that determine the choice of tangible fixed asset accounting methods including a flow chart of the factor and accounting method interaction, which can be used to develop a profit increasing or profit decreasing accounting policy. The factors are broken down into factors of the internal and external environment. Financial and human factors are attributable to the internal environment factors, while economic and technological factors are regarded as factors of the external environment. It was found that the financial leverage and the firm value maximization are the key factors in the financial factor group as they affect the management determination to opt for profit increasing tangible fixed asset accounting methods, while technological factors have an effect on profit decreasing tangible fixed asset accounting policy choice. Economic (the national economic situation and factors of the political process, such as the size of the company, its profitability, and the industry branch it belongs to) and human factors provide an opportunity to use both: profit increasing or profit decreasing tangible fixed asset accounting methods. The research results will contribute to a most correct choice of the tangible fixed asset accounting methods by the company management, appropriate management decisions, and achievement of the objectives.

Keywords: accounting policy, tangible fixed asset accounting methods, factors, profit increasing, profit decreasing, and performance results.

Introduction

Relevance of the topic. To survive and expand in the changing business environment, it is vital to analyse the resources that can be used to produce products, goods or services and to satisfy the users' needs. In business organisations, most of such resources account for tangible fixed assets (hereinafter referred to as TFA), which, according to J. Mackevicius (2008), are highly important in the assessment of the financial position and performance results of an organisation and which affect the operations of the organisation in the future periods (Mykolaitiene et al, 2010). Changes in such assets can have a material effect on the long-term performance results and therefore it is essential to have reliable and correct accounting information, which can be obtained if a relevant TFA accounting methodology is chosen. The TFA accounting methodology constitutes an integral part of the corporate accounting policy. The chief executive of a business entity is responsible for the establishment of an accounting policy that is in line with the business environment and consequently it is

important to find out what factors determine the management decision to opt for certain TFA accounting methods.

Scientific problem and level of its investigation. The numbers of research works dedicated to the specific features and problems of establishing the corporate accounting policy are quite extensive. The results of research conducted by Lithuanian and foreign authors (Watts, Zimmerman, 1990; Rudzioniene, 2004; Iatridis, Joseph, 2005; Ashtami, Tower, 2006; Jatkunaite, Martirosianiene, Stonciuviene, 2006; Shaheen, 2012, etc.) revealed that two potential alternatives of the accounting policy are analysed in the context of the performance results, namely a profit increasing or profit decreasing accounting policy. Some authors analysed factors affecting the choice of one or another accounting method in an organisation: R. Craig and J. Diga (1998) argued that the size of a company is a determining factor in choosing the methods of evaluation and revealing information in financial statements; C. W. Tan et al (2002) designated the company size, profitability and country groups as deciding factors and found that information on frequent-flyer program accounting is more commonly revealed by major global airlines or companies with a lower leverage level; W. E. Ashtami and G. Tower (2006) investigated individual countries and industries in the Asia-Pacific Region and concluded that Indonesian companies mostly use profit decreasing accounting methods, whereas companies that decide on profit increasing accounting techniques are characterised by a lower leverage level, a lower concentration of ownership and better investment opportunities.

Some authors analysed the impact of individual accounting techniques on the performance results: A. A. Christie and J. L. Zimmerman (1994) researched the impacts of TFA depreciation, inventory valuation, and other accounting techniques on the performance results of a company and came to a conclusion that the choice of the depreciation technique had the greatest impact. Whereas V. Mykolaitiene et al (2010) analysed the choice of the TFA depreciation accounting methods in Lithuanian organisations and found that corporate entities gives priority to the provisions of the Law on Corporate Profit Tax rather than to business accounting standards and they follow the optimality and precautionary principles. K. Rudzioniene and G. Gipiene (2007) investigated the choice of an accounting policy in small enterprises, while D. Zinkeviciene and K. Rudzioniene (2005) researched the impact of the choice of accounting techniques on the financial leverage.

The research works explore certain aspects of accounting policy framework development, the authors analyse individual factors, however they fail to offer a systematic approach towards the TFA accounting policy, to disclose the whole of determinants of the TFA accounting method selection or to highlight the TFA accounting techniques that have the greatest impact on the performance results.

Research problem: which factors decide the choice of tangible fixed asset accounting methods and what impact they have on the performance results of business operators.

Research object: factors affecting the choice of tangible fixed asset accounting policies.

Research objective: subsequent to the analysis of scientific literature, to determine factors affecting the choice of tangible fixed asset accounting policies and to theoretically identify their impact on the performance results of business operators.

The following aims are pursued towards the set objective:
to identify factors affecting the choice of tangible fixed asset accounting policies,

to provide a theoretical justification for the impact of tangible fixed asset accounting policies on the performance results.

Research techniques: in pursuance of the defined objective and aims, the research relied on the general research methods. Comparative analysis and synthesis of scientific literature was used to analyse the potential reasons and motives behind choosing tangible

fixed asset accounting policies. The methods of induction, deduction and logical analysis were used to identify the impact of factors determining the choice of tangible fixed asset accounting methods on the performance results. The monographic method was used to reveal the results of the research.

Research results

To analyse the formation of accounting policy in an organisation from the performance result perspective, it is essential to evaluate the accounting environment and the factors affecting the same. In literature, factors affecting the environment of business organisations are categorised as macro and micro or internal and external environment factors. The factors of the external environment include political, economic, social, technological, and legal challenges. According to J. Mackevicius (2010), the factors of the internal environment differ in various organisations and they mostly depend on the company size, the level of its production complexity, the volume of economic operations, the personal qualities of the top manager, etc. The chief executive of a company is responsible for choosing an accounting policy and its implementation in the organisation, and therefore his/her personal qualities and expectations represent a pre-eminent factor in analysing the formation of the corporate accounting policy. The internal and external environment including its inherent factors affects the managerial decisions made by the executives and therefore identification of the factors of such environments that have influence on the choice of TFA accounting methods facilitates substantiation of the motives behind certain decisions of the management. When the TFA accounting policy is framed, the factors of the said environments can be detailed by identifying smaller factor groups that are shown in Fig. 1.
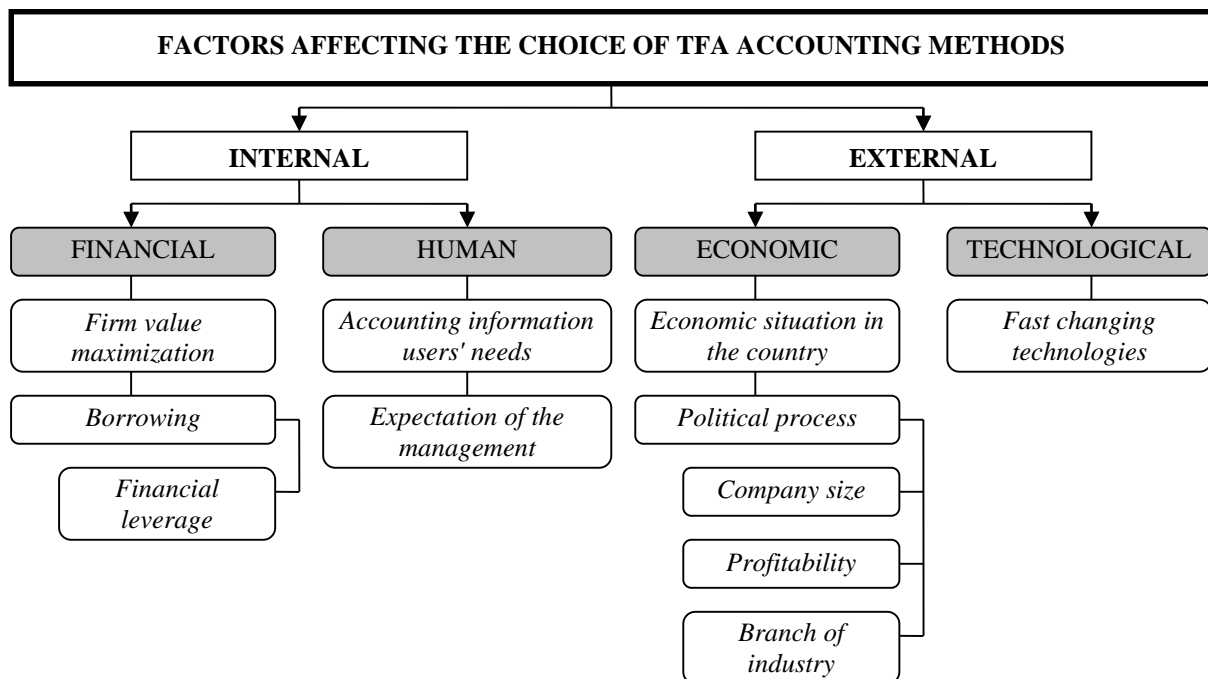
Fig. 1 Groups of factors that determine the choice of accounting methods (made by the authors based on Rudzioniene, 2004; Dzikevicius et al, 2008; Salvietti et al, 2008; Zinkeviciene, 2009; Campello et al, 2010; Datta et al, 2013; Greco et al, 2013; Sereshti et al, 2013)

The factors of the internal environment are particularly important in deciding on TFA accounting methods. The financial indicators of the company can have a material effect on the choice of accounting methods. Another important factor can be firm/business value maximization, which is a common preoccupation of the company management and investors.

A. Dzikevicius et al (2008) argue that information about the business/firm value is essential for the company managers and owners to make certain managerial decisions, it is of interest to governmental and control institutions, credit institutions, insurance companies, suppliers, and investors and also the value of the organisation is highly important when the company or its part is sold, in the processes of a merger, sales or purchase of shares or when financial decisions need to be justified, etc. The value of the company assets, including TFA, affects the value of the organisation and therefore M. G. D. Guidi et al (2008) claim that reflection of true and fair TFA related information in the financial statements leads to firm value maximization in the long term. In its attempt to maximize the firm value, the company is likely to use profit increasing TFA accounting techniques. Here the choice of profit increasing TFA accounting methods can be explained from the efficient positive accounting theory perspective based on the efficient market hypothesis, which states that the market prices of the shares of a specific organisation are linked to its public accounting information (Godfrey et al, 2006). According to D. Zinkeviciene (2009) and K. Rudzioniene (2012b) this approach reveals the objective of an efficient accounting policy choice, which is to maximize the value of the organisation through TFA accounting methods that can best reveal the actual financial position of the company. Results of research conducted by C. Deegan, (2000), J. M. Godfrey, et al. (2006) prove that profit related information based on historical cost (i.e. cost price) accounting has an impact on the share prices and therefore such information is useful for the market.

In the positive accounting theory, the firm value maximization is linked to the arguments of the neoclassical theory of economics based on individualism and the neoclassical maximization hypothesis (Boland, Gordon, 1992). This theory views the firm as a set of contracts and groups of selfish-minded individuals, and consequently all its members, in their own interest, are motivated to maximize the firm value and, as rational individuals, they seek to boost their personal benefit that is directly related to their current pay value. Therefore, the owners and the management opportunity to get an increased pay now is associate with the profit level. Higher profits will mean bigger dividends to the owners, while the achieved performance results may be linked to the management bonus system. That being the case, the choice of profit increasing accounting techniques becomes relevant in developing the TFA accounting policy.

The accounting methods of an organisation are chosen by the top manager and therefore the positive accounting theory views such choices in connection with the principal–agency theory. This theory emphasises the relationship and potential conflicts between the principals/owners and the agents/management (Mathews, Perera, 1999). According to R. G. Schroeder et al. (2001), C. W. Tan et al. (2002), the executives of a firm may obtain information that is not always available to the owners, which implies increased possibilities for the management to select methods to benefit primarily themselves, which do not always reflect the best interest of the shareholders. Activities carried out by an agent/manager are understood as the process of company management and assumption of business risks. The manager is getting paid for this work, and the pay can either be fixed or depend on the performance results. If the top manager of an organisation is one of its owners, such manager will be interested to pursue the most profitable activities and to choose profit increasing TFA accounting methods. However where a company is managed by hired persons, they can demonstrate behaviour that is the opposite of that of the owners' since:

the owners and managers have different objectives that lead to the conflict of interests;

the owners and managers can have different understandings of risks and thus certain actions or their outcomes can also be at variance (Zinkeviciene, 2009; Sereshti, Bijari, 2013).

A bonus system related to the performance results is often used to provide executives with incentives to undertake higher risks. This is explained by the bonus plan hypothesis

analysed in the positive accounting theory. *Ceteris paribus* (with other factors the same), the managers of the companies with bonus plans are more likely to choose accounting procedures that shift reported earnings from future periods to the current period (Watts, Zimmerman, 1990; Milne, 2002; Tzovas, 2006; Zinkeviciene, 2009; Rudzioniene, 2012b). C. Deegan (2000) and A. R. Belkaoui (2004) indicate that the practice of paying the managers bonuses depending on the performance results may lead to manipulations in such results by the management with the aim to increase the size of their bonuses and therefore the choice of relevant TFA and asset depreciation accounting methods or recognition of such asset repair costs could be one of the tools towards variations in the performance results. After analysis of typical bonus systems, P. M. Healy (1985) linked the bonus plan hypothesis to the maximum and minimum profit level and concluded that executives can opt for accounting period profit increasing or profit decreasing (where the profit stands below the minimum level and no bonuses are paid) accounting methods or they can seek even distribution of profit (equal benefits in different accounting periods).

L. Salvietti and N. R. Smith (2008), who analysed the problem of profit maximization at industrial organisations in the context of cost optimisation, came to a conclusion that minimisation of TFA acquisition, installation, deployment, depreciation and repair costs leads to maximisation of the gains. Therefore a rational choice of such cost accounting methods enable to frame profit increasing or profit decreasing accounting policy.

Another factor in the financial factor group is the borrowing requirement. In pursuance of efficient operations, an organisation must secure such operating conditions as the staff qualification (trainings), promotion (advertising) of the company and its products, adequacy of capital goods for production and services, and functionality (manufacturing plants, machinery, computer hardware, etc.), and thus there is often a need to look for external sources of financing. To borrow from credit institutions, it is required to provide information on the TFA owned by the organisation and its value, since the creditors requirements include sufficient assets that can be pledged as a collateral to secure the fulfilment of obligations. It is likely that in the face of borrowing requirements an organisation will opt for profit increasing TFA accounting methods. That can be supported by the leverage hypothesis that is broadly analysed in the positive accounting theory: *ceteris paribus* (with other factors the same), the higher the debt-to-equity ratio, the more likely that the company managers will select accounting procedures that shift reported earnings from future periods to the current period (Watts, Zimmerman, 1990; Milne, 2002; Tzovas, 2006; Zinkeviciene, 2009; Rudzioniene, 2012b). The aspiration to increase the profits of the reporting period will promote to fix the lowest possible minimum TFA value and to capitalise costs related to such property acquisition and repair that would allow to recognise part of the assets as fixed and thus to provide a collateral for credit institutions or insurance companies. The above is also corroborated by the financial leverage hypothesis, which says that the greater is extent to which an organisation fails to discharge its debt obligations, the more it tries to increase its assets or decrease the debts to avoid any penalties provided in the debt contracts and thus to reduce the likelihood of default (Zinkeviciene, 2009). Although this hypothesis has been supported by a number of foreign research (Inoue, Thomas, 1996; Shaheen, 2012; Matemilola et al, 2013), the studies conducted by D. Zinkeviciene and K. Rudzioniene (2005) in Lithuanian enterprises failed to confirm the financial leverage hypothesis, and that was related to the unfavourable taxation system.

Another group of the internal environment factors affecting the choice of TFA accounting policies includes human factors. One of the factors in this group is the needs of the accounting information users. K. Rudzioniene (2004) analysed the impact of the said factor on the accounting policy in Lithuanian companies and determined that there is a weak statistically significant relationship between the company indicators that are of interest to the

information users and the choice of accounting methods and consequently the author concluded that enterprises mostly respect the needs of administrative authorities and money lenders.

According to the stakeholder theory, each organisation represents not only its own interests but also those of other stakeholders and therefore data reflected in its financial statements must satisfy the information users' needs to be provided with true and fair information on the assets, equity, liabilities, income and expenditure, cash flow, etc. of the organisation (BAS 1, 2014). The data of the financial standing and performance results of an organisation are important for the employees, customers, and suppliers of the company, banks, tax authorities, investors, and other users of the accounting information. Such accounting information users are otherwise termed by K. Rudzioniene (2012a) and J. S. Harrison, J. E. Coombs (2012) as primary, as they directly participate in the company management when certain decisions are made or they are instrumental in successful operations of the organisation. R. E. Freeman et al (2010), T. Lutzkendorf et al (2011), and K. Rudzioniene (2012a) argue that stakeholders have an impact on the performance of an organisation or, alternatively, the activities pursued by the company determine their own well-being. Therefore, there is interrelation between the selection of TFA accounting methods and the satisfaction of the stakeholders' needs. For instance, to maintain its attractiveness among potential investors, an organisation is likely to pursue the profit increasing TFA accounting policy and to use profit increasing TFA accounting methods. On the other hand, to minimize the profit tax costs, an organisation is likely to pursue the profit decreasing accounting policy, i.e. to use profit decreasing TFA accounting methods. The latter information is essential to various tax authorities. In their research, R. M. Bowen, L. DuCharme and D. Shores (1995) discovered that different information needs among various information users exercise a determining influence in choosing a certain accounting method and therefore, in the light of a conflict of interest, organisations incline towards the profit increasing accounting methods, where the stock and depreciation methods are particularly significant.

The executives of a company, who are among the key users of the accounting information, evaluate the corporate financial statement information and the obtained performance results in the context of their own expectations. The choice of alternative profit increasing or profit decreasing TFA accounting methods can be linked to the management expectations as they often decide which information is going to be revealed in the financial statements. The choice of profit decreasing TFA accounting methods is linked to the urge of the executives of an organisation to pay a lower income tax to the state budget in an accounting period and the conservative approach of the management towards the profit risk. Otherwise, the management of a company tend to reflect higher profit in the financial statements (profit increasing TFA accounting methods) to win favour among creditors and investors. It is self-evident that a high profit ratio does not necessarily means that the organisation is stable, liquid and capable of discharging their liabilities on time. BAS 1 prescribes that information in the financial statements is retrospective, i.e. it describes previous periods. Thus the financial statements fail to provide all information required by the accounting information users to make certain decisions.

Talking of the group of economic and technological factors attributable to the external environment, the economic situation in a country can be attributed to the economic group factors affecting the choice of TFA accounting methods. Its impact manifests itself at the periods of economic boom and recession that are not short-term and usually last several or even umpteen number of years, the impact whereof is mostly suffered by small and medium enterprises or those that are new in the market.

M. Campello et al (2010) analysed the reasons for the constraint/slowdown of the operations of the companies in the USA, European, and Asian regions and found that due to

the declining national economy, increased unemployment rates, etc. organisations were forced to reduce their production or service volumes, which meant that the capacities of different manufacturing plants were not fully used, although the depreciation had to be calculated. Lower performance results led to wilful savings measures and therefore during an economic decline companies were likely to have adopted profit decreasing TFA accounting methods.

In the instance where an organisation takes into consideration the economic situation in the country and the trends in its field of business and decides to change the TFA accounting policy, it is vital to check whether or not the changes in the TFA value materially distort the indicators of the corporate financial standing and performance results. Too frequent and unjustified changes in the accounting policy are contrary to the principle of stability, which must be respected by an organisation in order to compare information of different periods.

The factor of the political process, which is termed as political visibility in the positive accounting theory, is attributable to the external economic factors. C. Deegan (2000) synthesised the results of research conducted by R. L. Watts and J. L. Zimmerman in 1978 and J. Gagnon in 1967 and concluded that the political visibility of a company is attributable to its size and profitability. R. Craig and J. Diga (1998), W. Tan et al (2002) argue that the size of an organisation affects the choice of an accounting method. Larger enterprises with higher profits enjoy better political visibility and incur more political costs. To reduce potential unfavourable political attention and related additional costs, companies should use accounting methods that enable to reduce the profit of the accounting period. That means that entities should opt for profit decreasing TFA accounting methods.

According to D. Zinkeviciene (2009), W. E. Ashtami and G. Tower (2006), the political visibility of a company is also revealed through its participation in a politically active branch of industry and therefore organisations operating in politically sensitive industries will tend to rely on the profit decreasing accounting policy. The results of research conducted by S. Datta et al (2013) disclosed that entities in different branches of industry are exposed to different competitive pressure to reveal their accounting information. The authors argue that lack of competitive environment (e.g., oligopolistic markets) reduces the need for profit manipulations. Whereas organisations in politically sensitive industries that depend on decisions by specific institutions and the impact of other external factors will be using profit decreasing accounting methods.

In the context of the choice of TFA accounting methods, a factor in the group of technologies – rapidly changing technologies – is much discussed in the research area. Companies engaged in different activities may demonstrate different approaches to assets and their use as well as to modern and rapidly changing technologies. Such perspective leads to a certain practice of the TFA accounting policy. For example, a computer or some other computer hardware can be carried at a revalued amount or Sum-of-the-years-digits or Declining balance depreciation methods can be used with regard of such type of property not because the company is trying to reflect a reduced result but due to the fact that computer technologies are considered to be constantly changing and improving. The organisation will seek to write-off such TFA items as soon as possible and to purchase new ones that are more powerful and can perform more functions.

M. Greco, L. Cricelli and M. Grimaldi (2013) analysed the impact of tangible and intangible fixed assets on the competitive advantage and investments in the enterprise and found that information and telecommunication technologies represent the key factor of the competitive advantage and investments in the organisation. The said TFA objects should be upgraded/replaced as often as possible and the market offers all the necessary conditions. Provision of technically advanced technological equipment and an efficient use of their working time and capacities lead to better performance results of business operators. Thus to keep up with advancing technologies, a company is likely to assign a higher minimum TFA

value and a shorter estimated useful life for this TFA object group or to use Sum-of-the-years-digits or Declining balance TFA depreciation methods.

In conclusion, company managers take into account the analysed factors of the external and internal environment and make managerial decisions and choose TFA accounting methods in line of their expectations, which serve the basis for producing TFA related information that is included in the financial statements. The relations between the TFA accounting methods and the internal and external environment in developing profit increasing or profit decreasing accounting policy are shown in Figure 2.
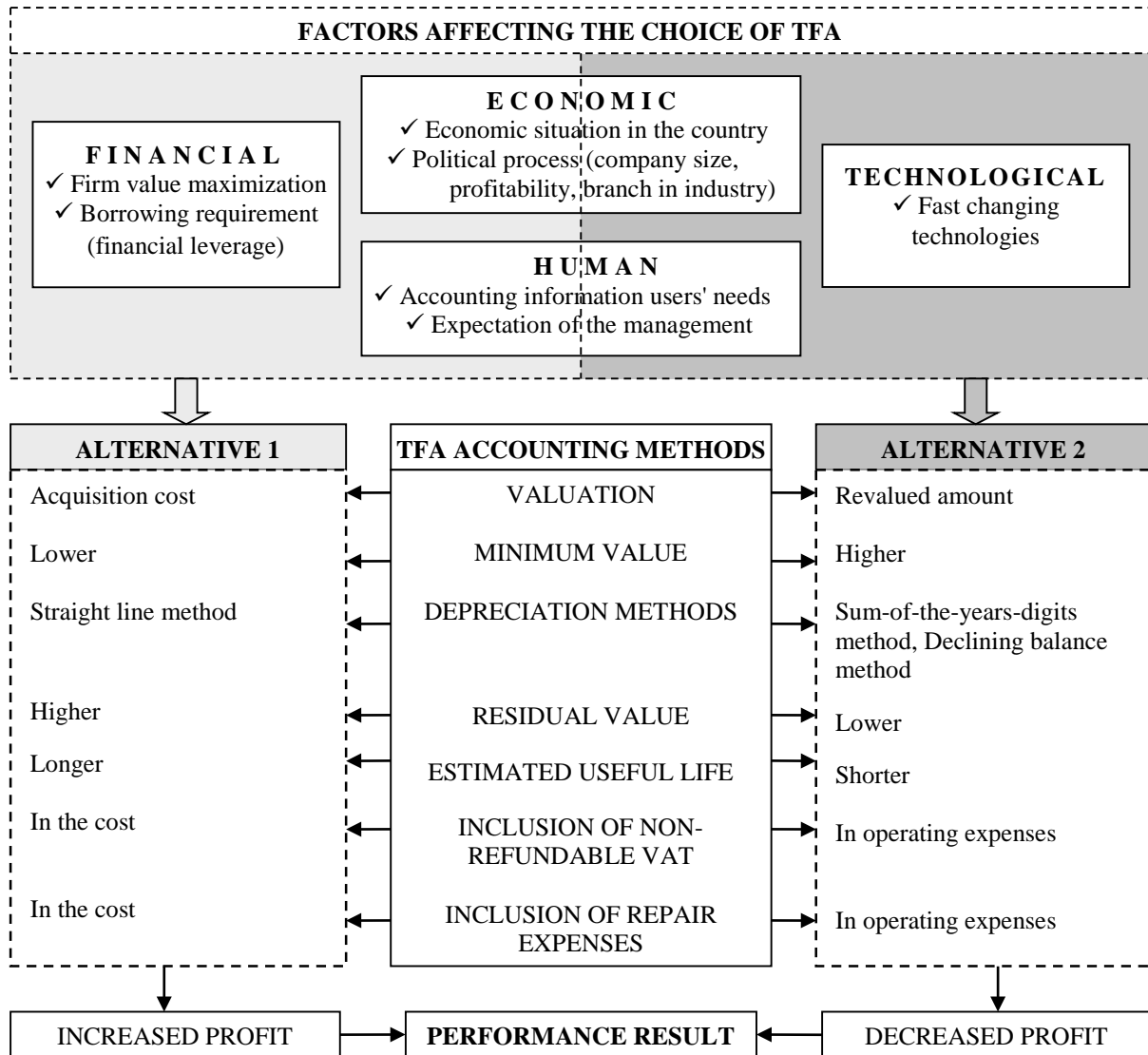
Fig. 2 Relations between TFA accounting methods, factors affecting their choice and profit

Figure 2 reveals that factors of the financial group contribute to the management's choice of profit increasing TFA accounting policy. That can be achieved by using the TFA accounting methods under the first alternative, i.e. by recording TFA at acquisition cost, fixing the lowest possible minimum TFA value, and using a linear or production depreciation method, etc. Such methods allow to include amounts related to changes in the TFA value in the cost of such assets and thus to reflect lower expenses in the accounting period, which results in higher profit of the company.

The factor in the group of technologies – rapidly changing technologies – results in the management decision to pursue the profit decreasing TFA accounting policy. In this process,

the TFA accounting methods of the second alternative are used, including the TFA revaluation model, the highest possible minimum TFA value, Sum-of-the-years-digits or Declining balance depreciation methods, etc. Such methods allow to develop accounting information, where changes related to the TFA value are registered as costs of the reporting period and consequently the result of the operations of the company are reduced. Economic and human factors are attributable to the choice of TFA accounting methods that would facilitate both profit increasing and profit decreasing TFA accounting policy.

The development of profit increasing or profit decreasing TFA accounting policy is more speculative as practically companies may pursue a mixed TFA accounting policy, i.e. with respect of its needs, objectives, specific features of its operations, etc., an organisation can concomitantly use both profit increasing and profit decreasing accounting methods. Therefore it can be maintained that a single uniform TFA accounting policy does not and cannot exist, as the impact of prevailing factors in different business entities also differs.

Conclusion

The research analysed the choice of tangible fixed asset accounting methods from the perspective of the performance results. In this context, two alternative accounting policies were defined, namely profit increasing and profit decreasing accounting policies. Based on the results of earlier scientific research and the hypotheses of the positive accounting theory, systematic analysis was performed and factor classification was produced. The classification of factors affecting the choice of TFA accounting methods takes into consideration the environment of business organisations. Here the factors are classified into those of internal and external environment. Financial and human factors are attributable to internal environment factors, while economic and technological factors are regarded as factors of the external environment.

In the group of financial factors, the most important ones are the financial leverage, which is based on the leverage hypothesis, and the firm value maximization linked to the efficient market and management incentive hypotheses. The factors of the national economic situation and political process can be attributed economic factors. The factors of political process can be linked to the size and profitability of an organisation and the industry it belongs to. Furthermore, technological and human factors play an important role in developing the TFA accounting policy. They are related to the needs of accounting information users and the management expectations.

The produced flow diagram of interrelations between the accounting methods and the factors affecting their choice leads to a conclusion that financial factors affect the management decision to opt for profit increasing TFA accounting methods. Technological factors impact the choice of profit reducing TFA accounting policy, while the influence of human and economic factors allow to favour both profit increasing and profit decreasing TFA accounting methods and consequently a mixed TFA accounting policy can be put into practice.

The research results will contribute to a most correct choice of the tangible fixed asset accounting methods by the company management, appropriate management decisions, and achievement of the set objectives.

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EMERGING ISSUES AMONG WOMEN EMIRATI ENTREPRENEURS: A RESEARCH AGENDA

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Abstract

Entrepreneurship and new business development in the small and medium enterprise (SME) sector is a growing area of emphasis in the UAE. As highlighted in the recent Global Entrepreneurship Monitor (GEM) Report on Entrepreneurship, a substantial policy initiative exists in the UAE to encourage SME development through a broad array of business initiatives. As one outcome of the overall assessment, a major policy was recommended encouraging increased support for Emirati women entrepreneurs (GEM 2009). However, developing and launching a new business start-up is often a daunting task for an aspiring entrepreneur. Many of the key skills necessary to run an independent business—such as finance, marketing, family support and operational logistics—can present challenging barriers to long-term success. Our research is intended to increase the amount of empirical information related to the leadership skills and overall self-actualization of successful Emirati women entrepreneurs. We will examine issues that Emirati women face in their daily lives, how they view entrepreneurship as related to family demands and values, and how they work within the community to overcome obstacles and become successful business leaders. A key research question guiding the study is: How does a developing economy support entrepreneurial activities and development of women-run family businesses without compromising family life and cultural values? Through a comprehensive qualitative study, our research agenda will identify key factors associated with building successful family businesses in the UAE. Eventual results of this research will lead to initiatives encouraging SME development by women in the UAE with policy implications for the broader GCC region.

Keywords: Women entrepreneurship, women leadership, Arab business women

Introduction

A growing body of research to date (Baud & Mahgoub, 1999; Haan, 2002 and 2003) has identified the emergence of Emirati women who are involved in small-scale economic activities. So far not much is known about such entrepreneurial activities, except that many such ventures concern home-based enterprises. Among women entrepreneurs in particular, there is precious little literature available that focuses specifically on women-managed small enterprises (WSEs). There is scant assistance available to help women entrepreneurs overcome the special constraints they face (Haan, 2004).

From observations collected largely through interviews (Haan, 2004), it would appear that most families of the UAE women entrepreneurs support their plans to go into business.

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Many women indicated that they had received either active or "moral support." And yet, some do indicate a "neutral" or "discouraging" stance taken by family members. The struggle in balancing family obligations with entrepreneurial ambitions is even more evident in the perception of possible reasons there may be for the small number of Emirati women entrepreneurs. Many Emirati women indicate "a lack of encouragement by husband and/or family" as a barrier to acting on ambition (Haan, 2004).

Against these challenges, women entrepreneurs continue to launch new businesses, representing a significant opportunity for future economic growth in the UAE. According to research undertaken by Dubai Women's College (DWC,2007), a vast majority of new businesses are started by the business owner herself, essentially owner-operator. About half of women entrepreneurs are estimated to be sole proprietors and among those with multi-ownership structures, about half again indicate that the additional owner is their husband.

A key aspect of women entrepreneurs is the large number of businesses operated from home and the subsequent impact on family life. A majority of Emirati women business owners are married and many have children of various ages. Consistent with observations around the world, women entrepreneurs in the UAE also perceive "pressures" related to the time needed to fulfill family obligations. As compared to many male counterparts, a significant challenge for women in business is to balance work and family life. DWC research findings (2007) reinforce that women feel that balancing work and family life is more challenging as a woman than as a man.

Work-life balance is one of the most difficult issues facing families in the new millennium. Around the world, economic pressures over the last decade have significantly increased the need for dual-earner families to the point that most families now require two income-earners to meet rises in the cost of living (White & Rogers, 2000). These pressures often create conflicts for women trying to balance career responsibilities and employee obligations. Such conflicts arise from a clash of ''roles'' within the work and family domains (i.e. inter-role conflict) and are due mainly to a combination of personal, domestic and societal ''expectations and demands'' (Posig & Kickul, 2004, p. 375).

While women start their own businesses for a variety of reasons, a common motive is the pursuit of self-employment as an alternative to waged employment because of the flexibility it offers them to care for their children while pursuing a career (Caputo & Dolinsky, 1998; Hughes, 2003; Still & Walker, 2006). However, the necessity to continuously balance business and personal responsibilities means that women often choose to keep their businesses small, operate on a part-time basis and work in low profitability sectors such as personal services and retail (Buttner & Moore, 1997; Daniel, 2004; Longstreth, Stafford, & Mauldin, 1987). Self-employment through home-based business ownership is often considered to be a potential solution to the inter-role conflict experienced by women attempting to balance dual work and family roles. Recent research in Australia found that for many women, the option of small business ownership as an alternative to mainstream employment may well give them an income-earning opportunity, but does not necessarily give them the financial security that paid employment does (Walker, Wang & Redmond, 2008).

Little research has been conducted on the dynamics of husbands and wives running small businesses together. Literature in family relationship theory has focused for decades on career work-family conflict (e.g. Hall et. al., 1989; Higgins, et. al., 1994; Aryee, et.al, 2005). However, research into the dynamics (both conflict and support) of small business / marriage partners is virtually non-existent, especially in the context of impact upon the business.

A recent qualitative study in New Zealand explored the role(s) played by partners in entrepreneurs' motivations for starting new businesses. While past studies have focused on the role male entrepreneurs' wives play in relation to business development, little attention has been directed toward spouses of women entrepreneurs and the dynamics of joint

business/marriage partners. Kirkwood (2009) explored a continuum of spousal support — those whose spouses are co-founders, supportive spouses, and unsupportive/ambivalent spouses.

Findings in New Zealand indicated that women and men tend to have different expectations of their spouse when contemplating starting a business. While women tend to look toward husbands for business advice, for support and for encouragement, men tend to assume support is forthcoming and some men start businesses without explicit spousal support. Women also consider the effects that starting a business may have on her spouse and family, much more so than men (Kirkwood, 2009).

Within the Gulf region, research among Omani women entrepreneurs highlighted the importance of support from husbands and families. McElwee & Al-Riyami (2003) explored a range of factors motivating women to become entrepreneurs, as well as barriers encountered. The authors identified the substantial influence families play in the context of Islamic political, economic and social spheres. Traditional roles and responsibilities still restrict women to their maternal role and other home-bound activities, thus limiting their economic and social participation. Family support and encouragement plays an important part in overcoming these obstacles. (McElwee, et.al., 2003).

Recent research in Lebanon reiterated that entrepreneurs are also motivated by needs of independence and flexibility (Fahed-Sreih, 2010). These characteristics may appear at odds with traditional Arabic caregiver qualities associated with family responsibilities, such as stability and structure. Similarly, McElwee et. al. (2003) found that a majority of Omani women entrepreneurs enjoy their careers and initially ventured into business for personal reasons, to gain autonomy or out of economic necessity inspired by a role model rather than financial gain. Research by Naser, Mohammed & Nuseibeh (2009) revealed self-fulfillment and the need for being financially independent as important factors that motivate women in the UAE to become entrepreneurs.

Entrepreneurs in Lebanon were also found to rely heavily on family members to establish, develop and grow their enterprises. Familial ties were found to fulfill three critical roles: a source of financial and socioeconomic resources, a resource of learning and skill mentoring and, finally, a dynamic of conduct and morals. In essence, the family unit creates its own culture. Within this cultural setting, the family creates a motivating force which is central to entrepreneurial development and success, including across successive generations (Fahed-Sreih, 2010). Omani women entrepreneurs also benefitted from family and/or husband support in the creation of new business ventures, managing businesses and coping with the demands of running the business. Husbands, especially those who are also or have been entrepreneurs, were also very supportive in providing advice and human resource to the venture (McElwee et. al., 2003).

Our initial investigations indicate that entrepreneurs – people willing to take the risks and make significant commitments to get a new business off the ground – are not that common in UAE. For many reasons, surprisingly few Emiratis view running a small business as more appealing than working as an employee of a firm, large or small, or in public sector service. These reasons apply as much to women as to men, but there are also additional factors which make entrepreneurship options even less attractive or viable for women.

In short, the UAE does not have enough entrepreneurs following through on their ideas and setting up in business. There are also disproportionately fewer women than men entrepreneurs. While around 52,000 (2 percent) of national Emirati women are participating in entrepreneurial activities in the UAE about 156,000 men (6 percent) are involved in such activities. Even in the areas where Emirati women are represented, they face considerable challenges that prevent them from taking an active part in the national economic development (Naser, Mohammed et. al., 2009).

In diversifying UAE's economy, more entrepreneurs need to take the plunge. Further research is needed to find ways to overcome the factors which particularly discourage women from taking up the option of entrepreneurship in family business ventures.

Although there has been encouraging support developing for women running businesses in the past decade or so, much more needs to be done to overcome the specific factors which discourage women in particular from starting small independent or family ventures. An environment needs to be created in which those women who do start and run a small business can more easily grow their firms.

The unique challenges of balancing work and family roles, in particular, add an extra level of complexity in managing small business start-ups. As Sue Ismiel, 52, founder of Nad's Hair Removal, states about running a family business, "I now wear two hats with my daughters: employer and mother, however finding the right balance is still a battle. We can't separate the work discussion at the dinner table and that's something we'll need to work harder at. Because our family business is so much a part of our life we always tend to go back to that conversation." (The Age, June 28, 2010)

Goals of this research seek to explore the dynamics of work/life balance in entrepreneurship, identifying key factors associated with building successful family businesses in the UAE. "Success" here is defined as a combination of sustained business activity with projected growth and development along with satisfying individual/family lifestyle. In essence, how are both entrepreneurship and family values supported, especially in the unique cultural context of the UAE?

Many of the essential skills and resources necessary to nurture successful Emirati entrepreneurship have been identified in a growing body of research, including access to capital and cash flow finance, general business skills such as accounting and marketing, networking for mentoring and knowledge transfer, and role expectations or role reversal in a largely patriarchal society. But what else do successful women entrepreneurs do to excel? What knowledge and resources – such as advice about family assets and potential liabilities and/or childcare and family support – are potential or perceived barriers to prospective entrepreneurs, and what support could be relevant?

The study of women entrepreneurship in the UAE is of particular interest as more than 80 percent of the businesses in the country are either family run or family owned. However, only scant research has been done that explores the evolution of women entrepreneurship, the organizational structure of women-owned businesses, and operational characteristics and financial structure. Further, there is a need to investigate—at the source and without pre-conceived ideas—the values that Emirati women possess that allows them to become successful leaders and entrepreneurs. Our proposed research agenda fills these gaps in the knowledge base and existing literature.

Research Objectives

From observations collected through in-depth interviews, we intend to identify the path that successful entrepreneurial women follow in the UAE. We will investigate the values that these successful women keep as they balance families and professional careers (Aryee, Srinivas & Hoon Tan, 2005; Hall & Richter, 1989; Higgins, Duxbury & Lee, 1994). "Success" in our study is defined as having enough material wealth to be able to choose how to spend resources of time, money and energy; reputation among peers; and longevity of experience (López-Mulnix, Wolverton, & Saki, 2011).

Specific objectives include

Define the importance of family values in achieving entrepreneurial success among women in the UAE.

Outline the influence of both education and religion in achieving entrepreneurial success among women in the UAE.

Determine if specific tenets of effective entrepreneurship can be framed for discussion and, if so, suggest a model or models of behavior that can assist policy makers who wish to promote entrepreneurship among women in the UAE.

Determine if Wasta as a form of social and business networking is utilized and to what extent it defines the success of women entrepreneurs in the UAE.

Determine if the Diwan as a social gathering place is utilized and to what extent it defines the success of women entrepreneurs in the UAE.

Determine if Irth as a means of family inheritance continues as a link of family values and heritage and, therefore, is defined as being important in the success of women entrepreneurs in the UAE.

Undoubtedly, additional objectives will be defined as the research progresses.

Conclusion

The history of social development research has been characterized by a Eurocentric bias whereby theories and models have been developed, operationalized, and tested within a majority European American context. Thus, the results of many studies have depicted culturally diverse individuals as deprived or deficient in some way (Casas, 1984; Morrow, Rakhsha, & Casaneda, 2001; Ponterotto & Casas, 1991; S. Sue, 1999). This project seeks to research Emirati women from a perspective of strength. It will engage leader women participants into a dialectic to discover their values in action.

Social development in the UAE is evolving very fast. As UAE Ambassador to the United States HE Yousef Al Otaiba, stated: "Forty years ago, women along with men had a very limited access to education in the UAE. Today, 70 percent of graduates from UAE universities are women. We have four women as fighter pilots in the UAE Air Force. Four women serve in the UAE federal cabinet and one-fifth of our national assembly are women." (www.uae-embassy.org/media/press-releases/3-Dec-2009)

Our research seeks to identify the values successful women entrepreneurs in the UAE emulate. By identifying key characteristics and qualities associated with successful women entrepreneurs, our research will identify core attributes that may be used by policy makers in crafting programs to assist in training and development, thereby promoting a supportive environment for all Emirati women. Outcomes from this research project will create a framework for development of entrepreneurial strategies among UAE independent businesses. In addition to recommendations about key brand attributes and marketing activities associated with successful local businesses, the development of a case history database will offer aspiring entrepreneurs a resource for marketing information and insights. At the recent MENA Roundtable on Entrepreneurship Education, Dr. Hala El Sokari of the Khalifa Fund for Enterprise Development commented that marketing skills were often critically lacking in aspiring entrepreneurs (Roundtable on Entrepreneurship Education Middle East/North Africa (REE MENA), 7-9 March 2011, at the HCT Abu Dhabi Men's College Campus).

Although a number of studies have been undertaken to examine factors that affect women entrepreneurs in developed markets (DeLollis, 1997; Christopher, 1998; Goldenberg & Kline, 1999; Inman, 1999; Smith-Hunter, 2003; Smith-Hunter & Englhardt, 2004), a limited number of studies have been undertaken to investigate these factors in the Arab World in general and in the Middle East Gulf region in particular (Dechant & Al-Lamky, 2005). Research investigating the main factors that influence women entrepreneurs in establishing and running their own businesses will assist policy setting and development of future economic plans.

This research project is therefore designed to learn from women entrepreneurs' own experiences, perceptions and expectations. The proposed study is exploratory, designed to capture women's "voice" as they speak about their roles in their businesses. Its purpose is to develop an understanding of the experiences Emirati women entrepreneurs and the meanings they make of these experiences.

Given this overall objective, face-to-face in-depth interviews will be used to discuss issues of importance and explore their implications. Through the use of qualitative methodology the researchers will be in close proximity and contact with the participants being interviewed and observed. The researchers will describe participants' lived experiences in their own words and use grounded theory to make sense of those experiences. Researchers will be sensitized to their own unconscious biases, stereotypes, expectations and privileges through the intensive dialectic interactions with the participants (Ponterotto, 2002).

Women entrepreneurs will be screened to participate in the interviews in which they discuss their experiences establishing and operating their own businesses. Participants will be recruited for this study on the basis of being owners of, or holding a controlling interest in an enterprise and managing it on a daily basis. Many business-owners in UAE are not engaged as owner-operators, instead employing expatriates to actively manage the enterprise. This profile of entrepreneurs will not be considered as candidates for this study.

In particular, each entrepreneur will need to meet the following criteria:
(1) started her own business,
(2) has been established in her business at least one year,
(3) owns at least 50% of her business, and
(4) has a major, active managerial role in her business at the time of the study.

Initial contact with entrepreneurs can be made via telephone, e-mail or social networking to introduce the purpose of the study and assure anonymity of participants' identities.

Because entrepreneurial behavior is affected largely by context, it is difficult to study successful women entrepreneurs independent of context. With this in mind, a qualitative case study approach is chosen as the most appropriate methodology (Yin, 2003). The case study approach will enable the researchers to compare entrepreneurial activity across organizational/business types, allowing for common themes and patterns to develop (Babbie, 2001; Miles & Huberman, 1994; Yin, 2003).

A semi-structured interview process will be piloted prior to interviews being conducted (Lincoln & Guba, 1985). Face-to-face interviews are preferred, with follow-up through telephone and e-mail exchanges. Recognizing that women entrepreneurs in the UAE may be more comfortable speaking with another woman, all face-to-face interviews will be conducted by Dr. Esther Elena López-Mulnix, an experienced author whose latest book details leadership attributes among Latina women (López-Mulnix et. al., 2011). All verbal exchanges will be tape recorded and later transcribed; data will be systematically categorized by themes and patterns of responses. Prior to meeting in interviews, each participant will receive information about the purpose of the study, key topics for discussion, and a statement of confidentiality about information provided by participants in the study.

Information collected from participants will be continuously analyzed to further develop and refine key issues in subsequent interviews.

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NEW DIRECTIONS AND CHALLENGES FOR ODL: BUILDING A COLLABORATIVE BUSINESS APPROACH

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Abstract

Open and Distance Learning (ODL) has been undergoing incremental change over the past decade with the rapid flow of globalization and internationalization. At the surface level, the ODL platform seems to be volatile as greater challenges lie behind the pillars of open learning that ensures quality, flexibility and sustainability to its applicants. At the same time, it has become a promising alternative to the traditional classroom learning, helping university to move toward a vision of lifelong and on-demand learning.

This paper aims at building a collaborative business model that can be adapted in an ODL setting keeping in mind the institution, students and stakeholders. It intends to identify effective management and efficient leadership who will be flagship in taking Open University into new heights. The objective is obvious as to make an analysis of anticipated variables of change, challenges, hindrances, facilitation, environment, and technology at ODL for the next decade. Accordingly, strategies are to be framed and effective policies are to be drawn through collaborative approach of leader and management-"an heuristic thought process". It will also delineate the new trends in education management with special reference to ODL.

This study is futuristic but the approach is empirical, with a vision of bringing competitive edge to education for all. As for methodology, the researchers sought opinions of various stakeholders in education and analyzed the priorities to be set in this area. The paradigm shift is from tutor to content and to learner where learning is taking place in a wider perspective with openness to creativity, novelty of ideas, active participation of the learner and stakeholder. ODL has to create a learning environment, coping with the challenges of technological developments involving digitalization and processing of information, emergence of new wave of economies, demographics and ageing population, changes in society and family structures. This necessitates fostering strong rapport between facilitator and learner with a robust support and encouragement of authentic/open leadership.

Keywords: Leadership, Collaborative, Stakeholder, Employability Skills

Introduction

Twenty first century witnessed a huge leap in industrial and technological developments. Sweeping changes took place in all facets of human life, for example, the Green Revolution in 1970s transformed agriculture leading to self-sufficiency in food. In 1980s, the White Revolution multiplied production of milk. Information Technology (IT) revolution in 1990s transformed the very idea of employment and accelerated globalization and internationalization. Finally, in 2000, saw a revolution in Higher Education, opening the platform of knowledge to all including the disadvantaged and those denied access to traditional education. Many words and terms that are used today have never been used by previous generations. E-learning, distance learning, open learning and blended learning are

some of the terms which are commonly used in literature and business these days. With the rapid development of multimedia technology, open and distance learning (ODL) has become a new kind of teaching model and people can teach and learn anytime and anywhere.

Distance education is defined by the association for educational communication and technology according to Schlosser & Simonson (2006) Institution-based, formal education where the learning group is separated, and where interactive telecommunication systems are used to connect learners, resources and instructors

Distance can be broadly categorized into two major components: they are distance teaching and distance learning. As per Simonson (2009) Distance teaching is the efforts of the educational institution to design develop and deliver instructional experiences to the distant student so that learning may occur. Education and distance education is comprised of teaching and learning.

Globalization of Education

The academic discourse on globalization generally focuses on its economic and political effects ignoring the shifts and changes it has produced in the underlying values and perspectives on the people affected. A new tidal wave of change in the form of globalization has become an inescapable reality of life. While the ripple effects of globalization are felt in almost all spheres of life, they are most palpable among the college-going youth or the 'netizen' generation. In ODL too, it has brought far-reaching demands to both students as well as stake holders. It opened up new vistas of teaching and learning, transforming the traditional notion of education. "World is flat" a new dimension of education is the integration of various variables crossing beyond the geographical boundaries as ODL compete to gain competitive advantage. Globalization means inviting more complexities, challenges, cultural differences, diversity etc.

As per Porter (2008) Globalization has been described as the combined phenomena whereby people are more globally connected than ever before through international travel and international communication, where information and financial capital are transmitted almost instantaneously around the globe, and where goods and services produced in one part of the world are ubiquitously available. Porter (2008) goes on to say: "Globalization describes the political, economic, and cultural atmosphere of today. While some people think of globalization as primarily a synonym for global business, it is much more than that. The same forces that allow businesses to operate as if national borders did not exist also allow social activists, labor organizers, journalists, academics, and many others to work on a global stage." Globalization has also brought concurrent changes in institutional structures like shift from annual to semester systems, internal and external student mobility, immigration and migration patterns and functions tending towards standardization. The corporatization of education whereby it is now treated as a business venture is becoming the norm today.

Leadership and Stakeholders in ODL

No matter how flat the world becomes, ODL should adopt to this change in an organic way. Coping with the change needs very effective leadership in education who can take the education into new heights. Both D'Agostino (2000) and Teddlie and Stringfield (1993), for example, report that leadership of the principal was the key factor in helping create a strong shared mission and vision in the school, which in turn was related to teacher effectiveness. The leadership literature tends to be quite prescriptive in nature, and factors such as transformational rather than transactional leadership, instructional rather than administrative leadership and leadership rather than management have all been posited as key elements of organizational effectiveness. Thomas Sattelberger (2011) states that instead of forming

strategic field marshals and ego-boosted autocrats-"humble, servant leaderships need to be revitalized.

Aligning three major components, the institution, student and stakeholder is very crucial and important in achieving the goals of the ODL. As per Silns and Mulford's (2002) comprehensive study of leadership effects on student learning provides some cumulative confirmation of the key processes through which more distributed kinds of leadership influence student learning outcomes. Their work concluded that "student outcomes are more likely to improve when leadership sources are distributed throughout the school community and when teachers are empowered in areas of importance to them".

Collaborative Approach

A collaborative approach is absolutely necessary and should be looked at from the macro perspective in order to instill team work. As per Furman (2004), members must respect the worth and dignity of all individuals involved in collaboration. They convey a sense of acceptance and that individual views and values are welcomed. Secondly, the collaborative process must enable participants toward full participation and open inquiry in specific carefully constructed spaces or forums that facilitate opportunities for democratic exchange, deliberation, and inclusion of all voices.

Lynda Gratton (2011) writes about how the world of work will look in 2025 recommending five forces that would shape our working future. The first of these is 'technological developments' involving robotics, digitalization and processing of information. The second is 'rapid globalization' and the emergence of a new wave of economies. The third is 'demographics' and ageing population. The fourth, changes in society and family structure-will lead to a high number of families in which both parents work and men take a more active role in childcare. Finally carbon foot-print concerns will encourage more localized production and working. The stakeholders of education expect that students need to focus on developing their specialist skills and mastery. They need to stand out from the crowd to be skilled collaborators in corporate sector.

Technology has swept the paradigm shift in education. Since there is change from traditional teacher centered learning to modern student centered learning. Online multi media has supported student centered concept very well. As per Constance Steinkuehler, Kurt Squire, (2009), the traditional structure of knowledge flow was textbook→teacher's notes→teacher lecture→ student→crumbles.

Old school thought as per Constance Steinkuehler, Kurt Squire, (2009), stops Cell phones are banned, internet access is severely curtailed, and educators scramble to do whatever they can to reinforce the traditional walls around the classroom. Literally and figuratively, we firewall out the digital world looming outside. Designers of instruction appear to not yet be ready to confront the challenges that virtual worlds pose.

Model of Collaborative Business Approach

An exploratory study has been done to apply Whipple JM., Russell D (2007) "Building supply chain collaborative model into higher education perspective. Level I depict an early stage of planning, formulation, integration. Level II here the relationship tends to improve with more seriousness in formulation of teams, participative decision making etc level III is objectively based with framing pre-determined goals to be achieved. Integration, relationship, partnership is at a very serious degree. Wherein all partners, stakeholders believe in win-win approach if they mutually work and share together. High level of trust, accountability, transparency etc exists

Parameters	Level I Coordination	Level II Cooperative	Level III Collaborative
People	Limited faculty, staff,	Faculty, staff, student	Faculty, staff, student – to

	student – to - faculty, staff, student interaction .Problem solving approach is in traditional way-hierarchical, bureaucratic	focused on joint decisions ,accountability increases from individuals role to formation of a team	- faculty, staff, student focused on problem solving, cross functional, Accountable for long term planning and execution strategies
Parameters	Level I Coordination	Level II Cooperative	Level III Collaborative
Process	Focus on traditional standardized data of processing, reporting, registration formats etc	Joint planning in involving a cross functional team, representation from faculty, staff, student as well as stakeholders	Fully integrated process, involvement of all stakeholders in planning, formulating stages and continuous feedback from the stakeholders. Student is usually the channel master
Technology	Technology to support teaching and learning. Mass data collected and stored at central level department. Low level of data interpretation and analysis	Technology to facilitate teaching and learning. Data transferred to specific concerned departments still it is restricted. Evolution of data mining	Technology empowers and facilitates teaching and learning. Technology actively supports learning organization. Transferring integrated data, access to all stakeholder partners. Optimum utilization of data by inferences, Co-relation, regression etc
Decision Making Involvement	Authoritative, Confined to heads of departments usually the Deans, professors, registrar etc	Involvement of operational team also (Assistant professors, research associates ,student council representative etc)	Active Participation and involvement from all at all levels(top to bottom) including stakeholders (internal as well as external)
Alliance level	Partnering for mutual benefit. Main parties interaction are between University with students	Partnering with all stakeholders (University with community, government, industry, alumni etc)	Partnering with all stakeholders globally(University other than stakeholders is partnering "Best in Class" different foreign bodies like teaching, research, assessment, accreditation, industries, Co-op programs, Social responsibility etc)
Parameters	Level I Coordination	Level II Cooperative	Level III Collaborative
Time Horizon	Short term planning, more task driven, Active, Improving with phases	Medium term planning more towards specific event. Reactive ,Improving	Long term focused on future plan. Proactive ,continuous improvement
Relationship	Ad hoc teaching for students, weak relationship	Students committed to a specific program finally graduating, Good conducive relationship building	Lifelong learning for students, alumni an essential player in teaching and learning. Strong relationship exists
Organizational level	Operational focused – tacking day to day issues. Example Scheduling, students issue of attendance/absences etc	Tactical/Managerial focus on execution. Example Revision of curriculum as per the program learning outcome, accreditation plans etc	Strategic-focus on long term improvement plans Example Vision, mission focused on student centered learning, community

			encouragement , stakeholder involvement and initiatives present etc
Information	Department focused, low level of playing. Integration of information at infant stage	University focused, Easy data available within the university	Integrated multi university oriented, globally access, readily available
Knowledge Level	Learning, research & development, knowledge exchange management, KPI's excelling at national level.	Learning, research & development, knowledge exchange management KPI's excelling at regional level.	Learning, research & development, knowledge exchange management KPI's excelling at global level.
Examples	University at a specific location	University at a specific location but satellite campuses at strategic locations across globe	University at a specific location but satellite campuses at strategic locations across globe, also extending specific department or centers at Industry premises

A Paradigm Shift in Education

Some of the new trends taking place in student learning process interfacing with massively multiplayer online (MMO's) are Education Institute instead of focusing on providing syllabus contents, focus should be on providing criterion for selecting contents. MMOs are tremendously in use. In classroom, students may login multiple learning sites like discussion in a chat room, watching live presentation, preparing assignment etc., a multitasking concept. Old school thinks that the students are not mentally present but they are virtually on the go of learning process. In virtual classrooms, remote learners are developing skills through experience in virtual laboratories and simulated environments.

Concept of mass learning process has taken shape, earlier traditional students were expected to learn and solve problems individually or in group of 2 to 5 but now the group is virtually widespread in hundred to thousand and working together to solve in ringing solutions. Students are not just mere learners but they are also information producers. Curriculum base of the courses were structured and firm, but now due to technology directly interfacing students, the students are empowered in generating information for themselves and becoming producers of information.

Trends in Classroom Technology

Classroom was traditionally a place of information inflow; source was the teacher but now its students who are the gatekeepers of information "bringing world in the classroom." The young generation of last three decades is conceived as "digital natives"; Prensky argues that they have "grown up among digital technologies like computers, video games and portable phones" (2001:2). Fairman investigated the relationship between teachers and students as a result of introduction of computers in classroom. She found that teachers' recognition of their students' digital skills had persuaded them "to see themselves as partners in learning with their students..." (2004:1). Constance Steinkuehler, Kurt Squire (2009) argues that, if students are going to participate as genuine producers in the online social and informational networks that virtual worlds represent, it is imperative that learning to design messages be a part of the curriculum. He also ascertains student autonomy and design toward their goals and not just yours. Finally, we need to carefully enable and manage student

autonomy and control our curriculum by creating engaging, driving challenges that draw students in.

Focus is on active student learning in this virtual world of learning (Davenport and Beck, 2001), in which students can, at any time, 'be'' anywhere they want. An important goal, then, is to develop curricular experiences that attract their engagement. We need to build on their goals and desires, help them develop advanced skills and knowledge, and then ''catapult'' them into new trajectories of being in the world.

New Dimensions of Learning

A main objective of ODL is to shape and mould students in sharpening their employability skills as per Cynthia M. Webster, Jacqueline Kenney (2011). For all the recent focus on "work-ready" skills training, few would dispute that the primary purpose of a university education is to develop intellectual curiosity and inquiry. Creative and innovative problem solving prefigure discipline-specific knowledge and skills and are a precursor to lifelong learning. Because we live in a world where a wealth of information can be accessed almost instantaneously, the development of generic research competencies beyond information acquisition is essential. Research requires much more than just information retrieval; it is the critical, analytical and integrative thinking that renders information valuable. Deep understanding is not automatic, but instead requires engaged and sustained research, in which a thorough examination and interpretation of information is conducted within an ever-growing body of knowledge.

Concept of research based learning is very important in honing critical thinking, writing skills wherein student will able to demonstrate its research skills. As per Baxter (2000), research based teaching (Brew, 2010) conceptualizes the functions of research in learning and teaching in two ways: (1) Research-based learning that presents students with both the opportunity to conduct research and to develop research skills within their courses. (2) Research-enhanced teaching that emphasizes the integration of a lecturer's research into the courses they teach. Finally MMOs will enable us to rethink what it means to be "literate" in a globally networked, online, "flat" (Friedman, 2005) world - and perhaps even give us some ideas about the kinds of teaching and learning necessary to get us there.

Conclusion

ODL has to act with a vision of bringing competitive edge to education for all and recognize the new paradigm shift in instruction. Learning is taking place in a wider perspective with active participation of learners, instructors and stakeholders. This should help ODL centers to reconsider their strategies to equip their learners with adequate technological and employability skills.

Change of winds from coordination to cooperation and finally reaching on collaborative thought brings forth the power of stakeholders in fulfilling the strategic vision, mission, goals, objectives etc of the ODL institution. It is been proved in business by partnering with your suppliers and customers proves agility ,lean, profitability etc.Thus this collaborative model is also yielding favorable results in ODL institution by way of enhancing learning outcomes to students which tends to improve the employability of students with pacing well with information and communication technology

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CONVERGENCE AND MEDITERRANEAN CAPITALISM: SOME EMPIRICAL EVIDENCES ON THE LIBERALIZATION OF THE ITALIAN ECONOMIC SYSTEM

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Abstract

In the years of the recent economic crisis, liberalization policies has taken on a new prominence in the public debate, especially in Southern European countries. However, The liberalization policies are confronted with very different institutional environments in which the action of European convergence does not cause the same effects in all countries, because it graft with structure, rules and heterogeneous cultures that determine "multiple equilibria" affected by processes of path dependence. The belonging to the Mediterranean model of Capitalism helps to explain the slowness and limits of a top down liberalization process that is not coherent with country's corporate and familist culture. Therefore, the social costs of liberalization policies are higher than the expected benefits where the processes of institutional reform are not accompanied by a high level of coordination and legitimation among the actors involved. The analysis of the Italian case highlights the failure of the process of convergence in a Mediterranean country, where the role of informal ties and the low level of institutional cooperation, generate imbalances in the regulatory structure of the economic system, rather than generating a virtuous circle in terms of efficiency and customer satisfaction. Empowering consumer's action through transparency policies would be an effective contrast to the action of pressure exercised by some corporate business groups that has heavily influenced the history of the Italian liberalization.

Keywords: Liberalization, institutions, consumer protection, privatization, models of capitalism

Introduction

In the years of the recent economic crisis, liberalization policies has taken on a new prominence in the public debate, especially in Southern European countries. Liberalization became a mantra in the querelle between criticisms and proposals on regulatory frameworks suggested for the exit from the crisis. The two dominant paradigms, the Neo-liberal and Neo-Keynesian one, face each other in the liberalization arena, raising the relevance of finding a new balance between state and market. The new coordination strategy Europe 2020 aims to stress a social market economy model that try to bring together innovation and growth, competitiveness and inclusiveness, possible only through a process of harmonization of regulatory frameworks and the creation of a true internal market in Europe. Therefore, this European goal passes symbolically and concretely through the attempt to construct an Internal Market for Services, promoted with great energy with EU Directive 2006/123/EC. Such ambitious goal requires that Member States, and in particular those of the Mediterranean area, such as Spain, Portugal, Greece and Italy, put in practice a substantial program of structural reforms, according to the equation + market= + growth. Some econometric analyzes confirm this axiom (Nickell 1996; Griffith et al. 2007; Barone and Cingano 2008; Poscke 2010). That is also endorsed by the analysis of national and international economic organizations (World Bank 2013; Bank of Italy 2012; IMF 2010; OECD 2009). The sovereign debt crisis in the

countries of South -Europe underlined the need to redefine the policies of deficit spending to promote the efficiency through a massive revival of liberalization and privatization policies. However, any process of innovation of the regulatory framework is relational (Rogers 2003) and it passes through the mediation and the acceptance of actors involved. According to Vannucci and Cebeddu (2009), in fact, the institutional context and the interactions between the actors are fundamental in the evaluation of the effectiveness of a process of liberalization. An institutional environment may be unfavorable to the processes of change, inhibiting "productive innovation" and encouraging forms of "parasitic innovation", those processes accumulation of knowledge and research aimed at the maintenance of economic rent. According to this analysis, variables such as the weakness of rights, low levels of institutional trust, poor quality of information on markets, together with the presence of barriers to competition, would help to explain the enduring condition of economic stagnation and competitive decline in many European countries , although the liberalization in Europe. This is linked to the fact that the process of liberalization is not to be understood as a simple economic or regulatory process in strictu sensu, but more as a social process. Moreover, the regulation is "the different ways in which a given set of activities and relationships between actors are coordinated, resources are allocated and related conflicts, actual or potential, are structured" (Lange and Regini 1987, p.13). The liberalization policy is confronted with very different institutional environments in which the action of European convergence does not cause the same effects in all countries, because it graft with structure, rules and heterogeneous cultures that determine "multiple equilibria" affected by processes of path dependence (Trigilia 2002). This is even more true for Italy, a country that does not properly belong neither to the tradition of liberal capitalist systems, such as the Anglo-Saxon countries, nor to capitalist systems so-called "coordinated market economies", such as Germany, where the minor role of the market is offset by strategic and cooperative interactions between the major stakeholders (Hall and Soskice, 2001; Crouch, 2005; Hancke, 2009). Italy symbolically embodies a Mediterranean model of capitalism (Amable, 2003; Trigilia and Burroni, 2009), a mixed economy system characterized by a long tradition of a State Manager, with a significant role of the informal economy and a lower level of cooperation between different institutional actors. The Mediterranean model, also known as an anomaly in the continental model (Della Sala 2004; Andreotti et al. 2001), helps to explain the slowness and limits of a top down liberalization process that is not reflected in the country's corporate and familist culture. Therefore, the social costs of liberalization policies are higher than the expected benefits where the processes of institutional reform are not accompanied by a high level of coordination and legitimation among the actors involved.

Objectives and Methodology

The paper analyzes the peculiarities of the Italian case and in particular the development and the effects of liberalization policies started with the process of European integration through a typical approach of comparative political economy and with a neo-institutionalist perspective. The Italian case is a sort of paradigm for the Euro-Mediterranean area, because it represents the strongest economy in the Southern Europe, so much so that the failure of these reforms is seen today as a threat to the entire euro-zone.

In the analysis of the Italian case, the paper takes into account:

- Official data of the major international and national organizations (OECD, World Bank, Bank of Italy, etc. .);

- Reports and documents of the Authority in areas covered by liberalization policies;

- The national legislative measures undertaken between 1990 and 2013;

Through these data we reconstruct the historical stages of these policies in the last twenty years, trying to assess the path of liberalizations in the country and how it affect the efficiency of services and benefits for consumers.

The analysis is divided into three sections: the first section is a comparative analysis at the European level through the examination of some official statistics on liberalization and privatization in the continent; a specific analysis on the Italian case. Retracing the path of liberalization Italian, with particular attention to social and political dynamics have led to precise regulatory choices; in conclusion, we try to evaluate the impact of these policies on consumers in Italy. The paper will conclude trying to estimate a final account of this period of reform, also trying to propose some policy initiatives.

The Market freedom in Europe and in Italy

According to the Economic Freedom Index[26], calculated by the World Heritage Foundation, Europe seems to be divided into two main areas: a significant number of countries "Quite Free" (with a score between 70-79), concentrated mostly in the north continental area (including UK , Norway, Germany), and a part of countries belonging to the category of "Moderately Free" (pt. 60-69), mostly concentrated in the Mediterranean and Eastern Europe, including Italy, France and Spain. Only Greece, Moldova and Bosnia belong to the category of "Little Free" (50-59). If in the world ranking of economic freedom, Italy (with a score of 60.6) would occupy the 83rd place, close to countries such as Guatemala, Paraguay and Saudi Arabia, in Europe it occupies the 36th place, preceded by almost all the other countries of the continent. However, our country has in the last year the biggest increase in value of the index compared to 2012 (+1.8%), surpassed only by Estonia (+2.1 %), which has enabled it to abandon the category of countries "Little Free", which took up to a year ago. Similar considerations are also confirmed by data provided from the Product Market Regulation Index (PMR)[27] developed by OECD. The index highlights how Italy seems to have brought the efficiency of its regulations on the levels of major European partners over the last decade: from 2.52 to 1.32, compared to the current 1.26 Germany or 1.27 of Sweden, doing better than France (1.39) and Portugal (1.35). However, the values are far from those registered in more liberal countries like United Kingdom (0.78) and Ireland (0.86), or even the closer Spain (0.96).

The low degree of values of the indices shown above would be, according to the Bank of Italy (2012) the continuation of a cumbersome bureaucracy. However, in recent years it has proceeded to a reduction in the normative stock and regulatory disclosure and accessibility standards , with a decrease in the number of primary acts (from about 50,000 to the current 10,000), also through the creation of codes. According to some observers (Vanucci and Cabeddu 2009; Confartigianato 2012) there wasn't an incisive reform in this sense, caused by an institutional environment characterized by high conflict at the regional levels interested in maintain a low levels of transparency in administrative processes. So it maintained unchanged the Italian gap with the rest of Europe. In fact, in Italy, not only are many procedures for

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[26] The index, on a scale of 1 to 100, measures the degree of economic freedom in countries around the world considering four different aspects: the legal system (property rights, level of corruption, etc..), the government's role in economy (level of fiscal control entity of public spending), the regulatory efficiency (freedom in the construction business, flexibility and deregulation of the labor market, etc.)., the opening of the market (degree of freedom of investment and trade).

[27] The index ranges between 0 and 6, and it reflects the degree to which the regulation of economic processes at the national level tends to inhibit market competition, considering some key indicators: the level of public control over business activities (percentage of public ownership of enterprises and in particular in network services, forms of price control, etc..), presence of administrative and legal barriers to entrepreneurship, both for starting new businesses in both the operational asset management, barriers to international trade and investment and presence of regulatory tariff is or procedures that can discriminate competitors or foreign investors.

starting and managing a firm, but also the costs of these are the highest too, with the exception of Slovenia: it takes about 10 days average to obtain a public authorization, 257 to obtain a license, almost 1210 days for civil proceedings for breach of contract, the triple than what happened in Germany (394), France (390) and UK (399), and in a bankruptcy case in Italy you can go on for an average of 2567 days. Italian companies to fulfill only the payment of taxes takes about 36 days per year, the 53.2 % more than the average for all OECD countries. A hypertrophic regulatory framework, where every year 10% of the legislation is changed through the so-called "omnibus decree", can be confusing, strengthening a " State escape strategy" (Vannucci and Cabeddu 2009, p. 54), or evasive behavior with a misuse of the social capital that can spill over into corruption or encourage practices of "capture" of the regulator. No wonder, in fact, that Italy, regarding the incidence of the shadow economy in Europe (Visa, 2013; ILO, 2011), retains the third place in the continent (21.6% of GDP), after Turkey (27%) and Greece (24%), far from the most virtuous France and United Kingdom (almost 10%) or Germany (13%).

Another sensitive intervention at European level are privatization, which have experienced a great revival in the countries of South-Europe, with the European Bank approval, that sees them as a fundamental lever for the reduction of the heavy public deficit in these areas. According to data provided by the Privatization Barometer (2011) of ENI Foundation, the revenues from the privatization increased in Europe, especially in the years 2009 and 2010, in which it reached the value of $ 225 billion. From 1985 until today, the Italian state has made more than $ 160 billion from privatization and holds the record among the European countries (excluding the UK) in terms of earnings. If we consider the second wave of liberalization, that began between 2005-2006, Italy remains the third in Europe, after Germany and France (see graf.1). However, the substantial revenues do not seem to have had a significant impact on the reduction of sovereign debt, leaving unchanged the levels of solvency of the state, while the alleged efficiency gains are not such as to achieve a lowering of the debt levels. In terms of efficiency and quality of services, assessments of privatization are even more complex. The cases of large Italian public corporations whose privatization produced disastrous outcomes are many: in the case of Alitalia, for example, the privatization is completed in 2008 with the transition to CAI, which acquired the former national airline at a lower price than that offered by Air France, and Italian State took on most of the debts merged in the bad company "Alitalia Service". The privatization of Alitalia did not solve the financial problem of the company or its market performance, so it is still in serious debts. Now a days, this seem to be the main obstacle to the acquisition by a foreign company, Etihad. Telecom Italia case may represent another example of unsuccessful privatization: since 1997, Telecom has been on sale for five times, until the current acquisition of the majority share from Spain's Telefonica. Every time an outcry raised in alleged defense of the strategic value of that enterprise, without looking instead to the lack of transparency of the acquisition rules and the absence of a public oversight of these sales that benefited especially brokers and speculators, leading the company to a debt exposure of about 28 billion euro.

The limits of Italian privatization can be traced to political choices that characterized their history after the Memorandum signed in 1993 by the Foreign Minister, Beniamino Andreatta , and Mr. Karel Van Miert , European Competition Commissioner (La Spina and Majone , 2000): a model of privatization "autogestista", where the same public managers of the public firms decided "what" and "how" sell, the presence of regressive paths where some enterprises were privatized immediately after re-nationalized (the case Enimont/ENI), or paradoxical case of sale by a public actor to another (such as the takeover of the Cassa Depositi e Prestiti in part of the property of Poste Italiane), the start of privatization, without prior or simultaneous effective liberalization of the economic sector in which they were operating, and without a real concern to the logic of efficiency or protection of diffuse

interests, but rather motivated only by cash needs, with "ex post" regulator attempts that remaining ambiguous and impairing "(p. 283). One paradoxical effect, according to the Bank of Italy (2012 , p.24), is that privatization of public enterprises increased the weight of the public sector in the Italian stock market, as the prevailing mode of privatization of state-owned enterprises was formed from the sale of shares on the stock market that led to the flotation of companies of a significant size, however, controlled by public entities, including the listing of the former municipal enterprises. Between 1990 and 2009, the weight in terms of capitalization of public companies is therefore increased from 16.5 to 35.7 % (compared to a decrease in the proportion of the number of companies from 12.4 to 8.6%).

Graf. 1 – Total Revenues of Privatization in Europe- 2005-2011
(EUR Million)
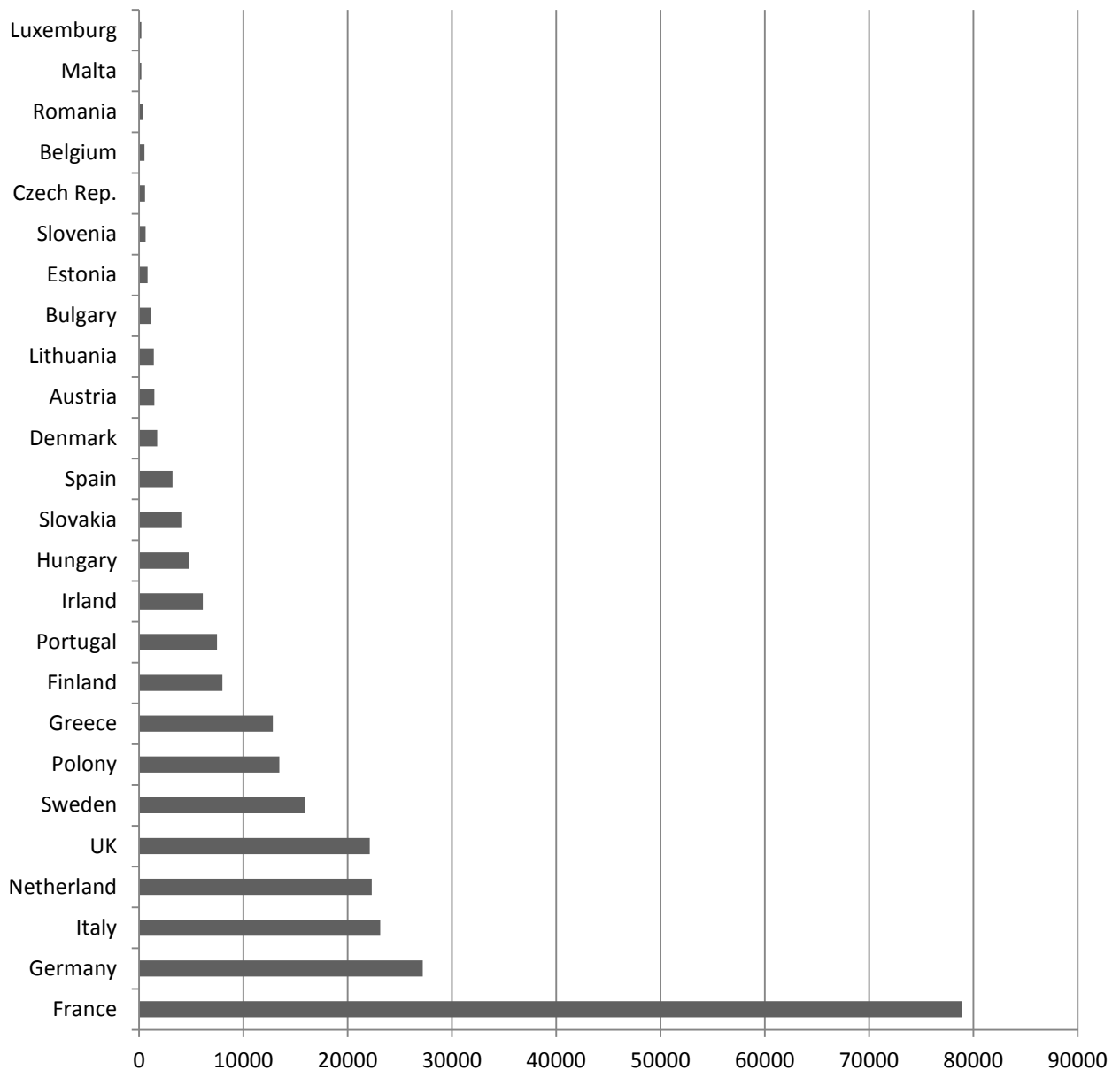
Fonte: ns elaborazione dati Privatization Barometer

"Penelope's Canvas": the Italian troubled transition from public management to public regulation between inertia and resistance

The value of "free market" was a principle hotly debated in Italy already in the Constituent Assembly in 1946, when it was proposed unsuccessfully to insert it into the

nascent constitution (Magliulo 1999). If in the American culture free competition principles have been considered a fundamental presupposition of individual freedom for the pursuit of the common good, guaranteed by the Constitution and a strong anti-trust regulation, in Italy this reference was replaced by the idea that the role of a "free market" is relevant but it is still subject to the superiority of the State, as the main guarantor of the general interest and a persecutor of well-being for all citizens. The issue of liberalization in the country remains under long-track, at least until the 80s, when the processes of deregulation, even in Europe, marked a new direction for the state economic policy against the backdrop of the failure of the Socialist experience of Mitterrand in France and Callaghan of the British Labour Party The path to greater liberalization of the Italian economic system changed from a few basic steps: the process of denationalization of IRI, began in 1985, following the privatization of the main public firms, made necessary after the Maastricht agreement; the establishment of the first Authorities, such as the Competition Authority (AGCM), the Electricity and Gas Authority (AEEG) and the Communications Authority (AGCOM). Another important element of the policies implemented in our country was the Constitutional Act of 2001, which finally redefined the role of the regions. The reform of Italian Constitution assumed particular importance on this issue because, on one hand "constitutionalizes" the principle free competition in the market (Article 117 co.2 letter . E) and on the other hand it raises new doubts about the possible overlaps in economic regulation of certain areas which still fall within the competence of local/regional authorities, such as trade, transport, water services, etc.. The new constitutional settlement raises the need for a joint and co-operative effort between different levels of government (EU, State, regions) but the experience of Prodi's government in 2006 and Monti's government in 2012, founds instead the antagonism and obstruction of Regions. . But, this cooperation has been very complex in practice, also leading to an extension of reforms timing. One example is exactly the so-called Services Directive (2006/123/EC) , through which the Union has worked with more power and precision to overcome the resistance and legislative barriers erected by states to hinder the liberalization of the service sector. Despite the three-year planned for 2009 , this will be fully implemented in Italy in 2012. This bodies, legitimized by the constitutional reform,   are still more resistant to liberalization policies because they seem even more vulnerable to political pressure from different groups or economic interests.

Other opponents to the liberalization reforms are corporate and professional association. During the last Prodi's government in 2006, with the Minister for Economic Development, Peirluigi Bersani, started a strong liberalization plan that will be renamed "lenzuolate". This experience of reform showed the obstinacy of lobbyists and corporate interests in Italy, from the smallest (eg taxi drivers) to the largest one (eg. banks and professional), that work together to delegitimize and protest against the initiatives of the Minister, configuring a sort of "siege" to the government (Lirosi and Cincotti 2009). These forces were supported by the opposing political party (Forza Italia) and by the local administrators belonging also to the same political majority(eg: the deployment of Veltroni, Mayor of Rome, alongside the Roman taxi drivers). The result of liberalizing reform of Bersani was for this reason very poor, due to the fact that some measures are lost in the meshes of a difficult mediation (eg disappears the norm for the automatic refund of citizen in case of delay in mail delivery, the liberalization of cinemas, but also incisive proposals on the liberalization of local public services) , and still others were lost in the maze of the legislative process, even overwhelmed by the early fall of the Prodi's government (eg: the free sale of some prescription drugs). The resistance of some industry associations made not implemented many measures or simply disempowered them: the rule about the possibility of change bank during the payment of mortgage had been rejected for many years due to a strong obstruction by several financial institution; similar resistance concerned the extension of the "Bonus

malus" class to a family member, that was heavily opposed and boycotted by Italian Association of Insurance Companies (ANIA); or the attempts by the Telephone Companies to compensate the elimination of the "recharge" cost on mobile phone increasing the conversation charges; or Federfarma, the Italian Association of Drugstores, that threatened not to allow the supply of the shops that, after Bersani's reform, could sell OTC medicines, and that was avoided only with the intervention of Anti-Trust Authority and the Minister of Health, Livia Turco. Berlusconi, strong of the displeasure animated by the protest against Prodi, returned easily to be Prime Minister, trying not to disappoint the expectations of its constituency. For this reason he supported a series of political initiatives for dismantling some of the liberalization pursued by Bersani, for example on liberalization of tariffs for lawyers or the liberalization of driving schools. Berlusconi's government was not particularly solicitous even in implementing the European Services Directive, while the introduction of a National Law on Competition, voted in 2009, has never been implemented. Meanwhile, the emergence of the economic crisis in 2008 caused a lively debate on deregulation policies. In the new climate of confrontation between different recipes for exit from the crisis, it raises the hypothesis that the only way to restart liberalization in Italy would be to carry out a constitutional refor to art. 41. The hypothesis in question is promoted from the Financial Minister, Giulio Tremonti, but the issue of compatibility of free market principles with constitutional provisions was already solved by the "new economic constitution" and the constitutional reform of 2001, supporting the suspicion that the proposal was a merely a delaying tactic. Once again EU put some pressure on Italy to get out from its traditional immobility. These were the days of a letter sent on 5 August 2011 by Trichet, the former governor of the ECB, and Mario Draghi, the previous governor of the Bank of Italy and actual governor of the European Central Bank. The contents of the letter was very explicit and Italy was put on trial for his lethargy and his weak reformism. This communication produced the obvious political effect to accelerate the end of the last Berlusconi's government and the rise of Mario Monti as Italian Prime Minister. The line built by Monti is typically European, but once again the contents of his reforms remain largely unrealized and the effectiveness of measures emptied by the permanent obstinacy of the same lobbies and the hostility of regional bodies. For example, the separation of ownership from ENI of a share of capital held in SNAM (the portion exceeding 20 percent) that was supposed to ensure more equitable access to infrastructure as well as to promote competition in the retail markets of electricity and gas, is carried out through the choice to take over the Cassa Depositi e Prestiti in the property, not solving the latent conflict of interest between the State-Shareholder and the State-Regulator. In the transport sector, the government's decision to create an Authority represented a step forward in order to overcome the fragmentation that characterizes the regulatory framework in this industry, but this decision has not been implemented. Moreover, the fact that in the decrees Monti did not find any indication on the ownership and separation between infrastructure operators and managers of transport services, or about a new allocation of airport slots was a clear sign to postpone once again important political decisions. Some provisions of Monti certainly represented an acceleration of the reform process in the liberal sense, but the final account of his reforms is very unsatisfying, considering the high expectations about a prime minister well-known for his expertise on the subject.

What are the benefits for customers?

According to the Coase theory, if actors are free to negotiate, they will achieve an optimal result if the transaction costs are zero and there is a perfect availability of informations. Obviously, these two conditions seem unlikely to be encountered in real life. In this sense, the regulatory frameworks serve as a guarantee system for the protection of consumers' interests, enhancing the power of exit and voice. The policies of liberalization

would act in the interest of consumers where they produce significant effects on the diversity of supply, price and quality of services, within a transparent and a reduced propensity to moral hazard. The U.S. experience, as well as other traditionally liberal countries, is a demonstration of this delicate balance for which the benefits of free market can't be guaranteed without a strong anti-trust regulation and an effective protection of consumers' interests. The two dimensions, deregulation and strengthening consumer protection systems, mutually reinforcing and they could not exist without each other. The European experience, and even more in the Italian case, the purposes of reduction of costs and complexity seems to prevail on the strength of the legal frameworks and quality systems of consumer protection. Liberalizations represent a sort of "rational myth" (Meyer and Rowan 1977) which justify the processes of coercive isomorphism (Di Maggio and Powell 1991) with a limited effectiveness for customers.

Let's start form network industries. They represent the main objective of EU policies in recent years. According to the data of the Italian Antitrust Authority network industries remains a problematic issue despite liberalization policies started in the nineties. Services related to transport, energy, telecommunications, postal services are the most sorrowful note in the activity of the regulator because the incumbents continue to play a strong role in the Italian market. Between 2008 and 2012, the HHI and C3[28] indices, calculated on authorities' data, show a lowering of the levels of concentration in key sectors but it is very modest (see tab. 1).

If we look specifically to the energy sector, the gap between the expectations of the liberalization process and the benefits for consumers is more evident. In this industry, Italy liberalize more quickly than the other European partners, as France and Germany. With regard to the production stage there is a growing role of new entrants, but in the domestic "maximum protection", where it still holds almost all customer[29], remains a strong dominance of Enel. In the energy sector, we can talk about a real failure of the free market, because prices are still more expensive and remain higher than the protected market, almost +12.8 % more for electricity, and +2% for gas. Considering a domestic consumer type, a family with central heating and annual consumption of 1,400 m3 , it can be seen from the third quarter of 2009 to the second quarter 2013, the total rate is increased by 30,2 %, from 68.32 to € 88.93 cent/m3.Finally, according to data from the Energy Authority, after liberalization customer complaints are passed by only 1,162 to 16,496 between 2006 and 2011.

Tab. 1 –HHI and C3 Indices s in the major network industries in Italy[30]

Service Industry	HHI		C3	
	2008-2009	2011-2012	2008-2009	2011-2012
Energy-Free Market	1018	653	45,4	34,3
Energy-Maximum Protection Market	7099	7163	92,5	93,2
Gas-Production	7009	6935	97,2	97,2
Gas-Import	2939	2546	72,3	76,7
Gas-Distribution	779	968	39,1	46,5
Gas –Retail	1397	1090	54,5	47,8
Postal Services	-	1449	-	56

[28] The index C3 is obtained from the sum of the market shares of the top three firms in the market. The HHI is the sum of the squares of the market shares of the firms in the sector vary between 0 and, in the case of totally fragmented market (in which each firm has a market share close to 0), and 10,000 in the case of monopoly. For values less than 1,500 the market is considered low concentrated, for values between 1,500 and 2,500 the market is set up as moderately concentrated. Finally, values greater than 2.500 characterize situations of high concentration.

[29] Energy "maximum protection" market is reserved for clients of the incumbent who have been given the opportunity to use energy service with the same regulated price prior to liberalization of the sector.

[30] Transport services, water distribution and waste disposal services are excluded because there are differentiated market conditions at the regional and local level.

Telehone-Landline	6524	4522	94,5	87,8
Telephone-Mobile	3162	2731	93,1	87,4
Telefone-Broadband Connection	3864	3355	84,4	81,4

In the area of Postal services, the benefits for consumers are generated even more for the technological revolution that has increased the areas of profitability for businesses, rather than as a direct effect of liberalization policies. The massive spread of electronic communications has largely supplanted the traditional postal communication, with obvious savings for consumers, and at the same time opened to the need to expand the range of possible services to users. This element, however, has reduced the potential growth and the attractiveness of the sector, even in the face of liberalization policies initiated in the mid-90s but not finalized until 2011. This process slow and belated the impact that liberalization of the postal sector could produce, as happened for example in Britain or Scandinavia. The attempts to establish an independent authority in this industry shipwrecked in the field (the first attempt was in 1995), and it show the difficulties of achieving a truly competitive structure in this industry, as witnessed also by the infringement procedures launched by the EU (2009/2149 and 2011/0205). Moreover, on the price front, analyzing the performance of the index of consumer prices of postal services, it can be seen from January 2011 to July 2013 will be recorded in this case an increase of more than 5%.

Considering telecommunication sector, the broadband penetration in Italy is still limited and lower than the average of European countries and the OECD, partly because of poor infrastructural facilities. In addition, there are still significant problems in landline telephone market. The index of consumer prices for landline telephony services shows a progressive growth: in the period from January 2011 to March 2013, prices increase of 6.1%. Only mobile rates get low: the index of prices shows -10.8 %.

Several problems are not only in the service sector. If we look at the retail industry, liberalization is often taken for granted, even by careful analysts as the Istituto Bruno Leoni (2012), but some critical points still remain. The liberalization of OTC drugs produced, for example, the most significant benefits for consumers, with prices which showed average reductions of 15-20%, with peaks up to 30%, and 7,000 new jobs created (Casadei and Garattini, 2012). However, even in this case, OTC medicines represent only 9% of the pharmaceutical markets in Italy, while prescription drugs of "class C", representing a market share almost double, but their liberalization was attempted in vain by Prodi and Monti because of the strong resistance of the Drugstores Association and therefore the "92.8% of profits remained in the pharmacy" (Casadei and Garattini 2012, p.19). Considering the retail of fuel distribution and Car Insurance Services, according to a recent report by the Ministry of Infrastructure and Transport (2013), since 1990 customers have spent +208% on fuel, and +216.7% for car insurance. Fuels costs in Italy are the highest in Europe (1.84 per liter average for petrol compared with about 1.30 of Poland), compared to a retail network much more widespread than in other countries (22,900 petrol stations against 8,921 of Britain, 9,926 in Spain, France and the 12,522 of 14,785 for Germany) (Petrol Union, 2011). More liberal regulations do not have produced significant results on the price level, also because more than 50% of cost per liter is determined by the tax component. According to the Antitrust Authority, in absolute terms is the GDO fuel stations who practice the lowest prices, from 9 to 13 cents less compared to other gas stations. But GDO fuel stations are not as common they are still distributed unevenly in the country, mainly in the north. The fundamental problem is upstream, which is a type of oligopoly setting of the supply chain of fuel, based on the role of large vertically integrated oil companies , which has remained virtually unchanged as a result of the timid measures to liberalize the sector. The possibility of distributors of choosing freely from whoever supplies may only relate to those who are owner of the station, only 2% of current distributors in Italy. A remedial action in this regard would be to separate the

management of the three phases (refining , logistics and management of the distribution network) that could lead to much more significant effect on the level of competitive dynamics and therefore prices.

Graf. 2 OECD- Product Market Regulation for Economic Sector in Italy
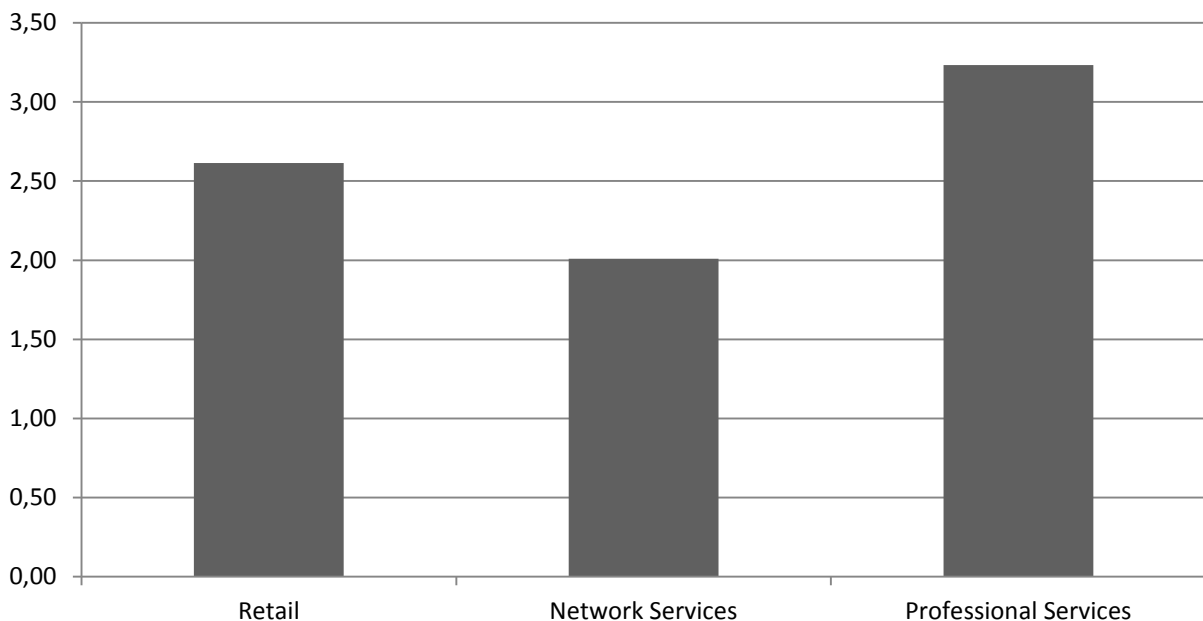
Source: OECD, 2012

One of the areas that seem to have remained more "impervious" to the liberalization process is professional services. The lowest result in this areas in Italy are certified by OECD's PMR Index for sector, shown in graph 2. However several attempts, professional association in Italy continue to claim a regulative autonomy, clearly opposing the reforms desired by Monti and Prodi. Once again, the thesis of professional associations is that the status quo better ensures customers, justifying the substantial disapplication of the law 138/2011 that obliged professional association to a self-reform within twelve months to ensure more meritocracy and competition, facilitating also the engagement of young professionals. The analysis on the crucial theme of the elimination of minimum rates for professional services highlight strength of the corporate action carried out by the professional association. The action in defense of the principle of minimum rates is exemplified in a series of explicit statements of professional associations (AGCM 2009, p.11): minimum rates are defined a general clause of "decorum", for this reason, for example, The National Council of Lawyers gave a restrictive interpretation of the reform pointing out that if the minimum rates are no longer required by law, the lawyer behavior that requires a fee below the minimum rate can still be considered a violation of articles 5 and 43 in Section II of the Code of Conduct as "derisory compensation, inadequate, below the threshold considered minimal, affecting the dignity of the lawyer and deviates art. 36 of the Constitution". In addition, the rule about the possibility of legitimate advertising for professional services was refused by associations because it is considered "injurious of dignity".

Conclusion

In conclusion, the analysis of the Italian case highlights the failure of the process of convergence in a Mediterranean country, where the role of informal ties and the low level of institutional cooperation, generate imbalances in the regulatory structure of the economic

system, rather than generating a virtuous circle in terms of efficiency and customer satisfaction.

It could be said that consumers can develop an ambivalent attitude to the processes of liberalization: in part, some customers could fear that liberalization of a certain sector is motivated more by the need for cash and cutting spending of the public sector more than it has inspired the increase in benefits and welfare. It should also be noted that not always the interest of consumers may coincide with the only saving effects of choice and opportunity generated by the process of liberalization, as other interests, just as worthy of protection, may conflict with them. The case of energy and fuel is emblematic in this sense: it does not appear conceivable that a reduction in costs to the consumer is likely to cause a bounce effect, namely an increase in the consumption capacity for users, since such a result would produce negative effects on the environment, which in the long run, however strike consumers. To balance the trade-off between costs and benefits involved, changes in the regulatory structure must be accompanied by technological innovations. We have already seen how in the telecommunications, liberalization has had a positive impact on prices for consumers where new patterns of consumption, made possible by new technologies, have opened up new areas of profitability for businesses. The same could be said for alternative energy sources or alternative fuel, or for new services related to mobility, such as car sharing. In this sense it is necessary that the process of liberalization and its effects are really known and understood by the consumers to ensure the effectiveness of the reform of the regulatory structure. Information, transparency and consumer education, a dimension of classical action of the consumerist movement, represent a fundamental mechanism for an effective balance between the free market and the protection of customers. Liberalizations produce "widespread benefits" to "concentrated costs" (Di Benedetto 2013, p.47), because it is much easier for lobbyists and corporate interests mobilize to counter the process of change, rather than for consumers or the associations that represent them. Consumers are unlikely to be mobilized on the basis of selective incentives because they are more difficult to identify as a homogeneous category of interest, compared to "vertical" groups, such as trade unions or trade associations or professional bodies, which had a narrower constituency and a specific identity that favors a direct support (Arcidiacono 2013). The spirit of conservation, relatively more concentrated, homogeneous and well represented on the ends so outweigh the need for change and the potential benefits it could bring, as it is much more cross-cutting interests, unable to find adequate representation or a concerted strategy action (Pammolli et al. 2007). Even in this case, technology and regulation jointly can support the liberalization process making it more transparent. Considering again the American experience of 2009, the Italian government is also adopt to the practice of the Open Data and Open Gov to facilitate the control of citizens and promote their empowerment and activation. In particular, the Decree Law 179/2008 and the decree "Growth 2.0" are a good step in this path. The instrument of Open Data, combined with mechanisms for prognostic assessment of liberalization, achievable by the Regulatory Authority, can promote the role of control and mobilization of citizens and associations that represent them. Policy makers, with the collaboration of all the actors of the Italian consumerist movement, shall enable the Italian consumer to fully exercise his power of choice - the so-called "voting with wallet "(Becchetti 2012) - in order to be an agent of change but also a guardian of the market (Arcidiacono 2008).

Another guarantee for consumers would be to provide representatives of associations or committees of citizens within the boards of companies that have to be privatized. Empowering consumer action would be an effective contrast to the action of pressure exercised by some corporate business groups that has heavily influenced the history of the Italian liberalization, form the prohibition of selling freely prescription drugs of "category C", the impossible reform of professional services or the "not born" Authority for Transport.

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ON THE EXCHANGE RATE PASS-THROUGH INTO INFLATION IN ROMANIA – A DISCUSSION

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Abstract

The significance of the exchange rate for Romania' macroeconomic policies raised the level of interest related to the study of relationships between the exchange rate and the other macroeconomic variables, and particularly inflation, given the realities of a small open economy. Given the country's membership to the European Union and the declared intention to adopt the Euro, Romania has to fulfil the Maastricht criteria for nominal convergence. At present, these criteria are met only in terms of the fiscal deficit and public debt, while the other criteria remain to be complied with, including here the inflation rate. Our paper's objective is to discuss the influence of the exchange rates on one of the most followed macroeconomic variables – the inflation rate –, using the concept of exchange rate pass-through, and to provide an assessment of Romania's macroeconomic conditions with respect to exchange rates and inflation, with an eye over the eventual fulfilment of Maastricht criteria needed for Euro adoption. We conclude that although Romania has achieved an all-time low annual inflation rate of 1.55% at end of 2013 Q4, and the forecasts until 2015 are optimistic regarding inflation targeting, a higher volatility in the exchange rate, as observed towards the end of 2013, which can encourage a higher degree of exchange rate pass-through into inflation, coupled with expected populist measures in an electoral year (2014) might endanger the central bank's objective to maintain inflation within the announced target of 2.5%.

Keywords: Exchange rates, inflation rate, exchange rate pass-through, Romania

Introduction

Romania's membership to the European Union (EU) has opened the door to numerous challenges induced by the country's economic and financial integration with the other members of the EU and, eventually, by the adoption of the common currency, the Euro. Before Euro adoption Romania is required to comply with the nominal and real convergence criteria, based on the stipulations of the Maastricht Treaty. According to this Treaty, nominal convergence depends on inflation rate, long-term interest rate and exchange rate dynamics, as well as on fiscal deficit and public debt. At present Romania fulfils Maastricht criteria for nominal convergence only in terms of the fiscal deficit and public debt, while the other criteria remain to be complied with. From an administrative point of view, similar to the actions of the other new Member States of the EU, Romanian authorities have established coordinating bodies for the adoption of the common currency, such as the Inter-ministerial Committee for Euro adoption (since 2011), which coordinates the country's preparations for Euro adoption and includes the Prime-minister, the Minister of Public Finances, other ministers and managers of governmental bodies, and representatives of private sector organisations and trade unions. Country officials, including here the representatives of the Romanian central bank, have set 2015 as a target year for Euro adoption, but this is, in our view, a more than optimistic goal.

The exchange rate is a critical variable in a small and open economy, which influences the real economy and may be used as a valuable tool to foster nominal and real convergence. Therefore, the relationships between the exchange rate and other macroeconomic variables need to be understood, building on the assumption that the exchange rate dynamics has something to say about inflation rates, interest rates, economic growth and a country's international competitiveness. The significance of the exchange rate for Romania' macroeconomic policies raises the level of interest related to the study of relationships between the exchange rate and the other macroeconomic variables; such a study may consider, on one hand, the various bi-univocal channels of influence of exchange rates over the other macroeconomic variables, and, on the other hand, the concrete economic policy actions that lead towards macroeconomic stability.

On the other hand, the exchange rate is highly sensitive to the evolution of other macroeconomic indicators; it is affected not only by the current state of the economy, but also by the expectations of economic agents about future macroeconomic developments. The expected outcomes of the upcoming elections, the decisions taken by central bankers, or oil prices are just a few factors that influence the exchange rate. As expected, the exchange rate is a highly volatile economic variable and it dynamics is carefully monitored carefully, even the smallest changes representing the subject of TV news or economic newspapers.

Currently, Romania has a managed floating currency regime that aims mainly at smoothing out fluctuations in the exchange rate. The Romanian central bank does not preclude the leu exchange rate movements, but it reduces the amplitude fluctuation. In attaining its monetary policy objectives the central bank uses the exchange rate as a nominal anchor, while in its choice of action on the exchange rate the central bank must strike a balance between reducing inflation and avoid a real appreciation of the domestic currency, which would lower the country's external competitiveness.

Our paper's objective is to discuss the influence of the exchange rates on one of the most followed macroeconomic variables – the inflation rate –, using the concept of exchange rate pass-through, and to provide an assessment of Romania's macroeconomic conditions with respect to exchange rates and inflation, with an eye over the eventual fulfilment of Maastricht criteria needed for Euro adoption.

Exchange rates and inflation – a discussion

Inflation level and dynamics influence the purchasing power of the currency, while the exchange rate is the ratio of the purchasing power of two currencies; according to the Purchasing Power Parity, changes in the exchange rate between two currencies depend on the difference between the inflation rates of the two countries (e.g. inflation differential).

The exchange rate pass-through is commonly defined as the response of domestic prices, including consumer, production and import prices, and sometimes the prices set by local exporters, to the exchange rate. More specifically, Goldberg and Knetter (1997) understand by exchange-rate pass-through "the percentage change in import prices caused by the variation of 1% in the exchange rate between an importing and an exporting country". This definition refers to the impact that exchange rate changes have on import prices. Given that a large proportion of imported goods enter directly into consumption and some are used to manufacture consumer goods, any change in import prices will have an impact on consumer prices.

This topic has been the focus of international economic literature for a long time. In the context of increasing economic openness of most developed economies and of large fluctuations in nominal exchange rates, understanding the determinants of transmission of exchange rate changes in the prices of traded goods has become very important.

The extent to which exchange rate changes are reflected in changes in prices gained interest especially after 1970 when inflationary shocks caused by the sudden increase in oil prices led to the fall of the Bretton Woods monetary system. In inflationary environments, and particularly in high inflationary environments, central banks' concern on how the exchange rate variation is reflected in increased prices has increased due to a vicious cycle that manifests: the currency depreciation can feed price increase, and this will lead to increased inflation expectations.

The degree of exchange rate pass-through into inflation is important for the choice of monetary and exchange rate policy. A low level of pass-through gives a central bank higher independence in conducting its monetary policy and makes it easier to implement a direct inflation targeting framework. Countries with a high share of imports in domestic consumption are more likely to have a higher degree of exchange-rate pass-through; for them, imports, with a higher share in the consumption basket, explain a larger part of price increase. Moreover, if there is a new process of exchange rate pass-through, changes in prices of imported goods can result in a much larger change in the consumer price index. For example, an increase in import prices leads to requests for wage indexation, which generate subsequent increase in inflation. The second wave of exchange rate pass-through is more likely to occur when monetary authorities respond late to shocks generated by imported goods' prices.

Another factor that influences the exchange rate pass-through is the exchange rate volatility: the higher it is, the more cautious importers will be regard to changing prices, preferring to adjust their profit margins until market developments become favorable. Consequently, exchange rate pass-through should be lower in countries with a higher volatility of the exchange rate (Ca'Zorzi et al, 2007), as well as in countries with a higher volatility of aggregated demand (McCarthy, 1999).

A depreciation of the currency is expected to be reflected in increases in prices of imported goods. If the depreciation is fully reflected in the prices of imported goods, the exchange rate pass-through to prices is complete, while incomplete pass-through reflects the partial transmission of exchange rate changes into prices (Goldfajn and Werlang, 2000). The size and speed of exchange rate pass-through depend on factors such as expectations regarding the time length of currency depreciation, the cost of price adjustment and the level of aggregate demand. Understanding the process of exchange rate pass-through is important because the size of pass-through is a good estimator for the potential transmission of the international macroeconomic developments to a domestic economy.

The pass-through effect takes place through three channels: (1) a direct channel through prices of imported goods in the consumer price index (CPI); (2) an effect through prices of imported intermediate goods; and (3) an effect through price setting and expectations that include expected responses of monetary policy (Garcia and Restrepo, 2001).

Empirical studies show that the prices of imported goods do not respond fully to exchange rate changes, and this is due to deviations from the law of one price, which states that in perfect markets with no transaction costs or trade barriers where goods are perfect substitutes the price would be the same, regardless of the market where the good is traded. Most of these studies have demonstrated an incomplete transmission of exchange rate changes in the case of imported goods in most countries - a 1% change in the exchange rate leads to a lower variation of import prices inflation. The literature presents several reasons to explain this phenomenon: (i) in some countries, imports denominated in the domestic currency have a significant share in total imports and a change in the exchange rate has little impact on import prices and therefore on consumer price inflation (Campa et al., 2005); (ii) the existence of asymmetries in the effect of exchange rate movements on inflation: a depreciation of domestic currency has a greater impact on prices than an appreciation, as traders are reluctant to reduce prices of goods (Cozmanca and Manea, 2010); (iii) price rigidity – for both depreciation and

appreciation of the domestic currency, traders prohibit changing prices denominated in domestic currency as long as they are convinced of the permanence of this change (Figueiredo and Gouvea, 2009); (iv) in industrialized countries, most traders are hedging exchange rate risk, which means that the appreciation or depreciation of the domestic currency does not influence prices (Huang and Brahmasrene, 2010).

Although many economists have argued that a reduction in the coefficient of transmission of exchange rate changes on inflation has a positive influence on the economy as it leads to a decline in inflationary pressures from abroad, other authors (Edwards, 2006) state that this argument ignores the role of relative prices and the effectiveness of the exchange rate to mitigate asymmetric shocks.

The relationship between exchange rates and inflation in Romania

Exchange rate pass-through into inflation is a major problem in Romania, especially considering the recent depreciation in the nominal value of the national currency (leu). In recent years, Romania recorded a downward trend of inflation and exchange rate volatility decreased. With the decline in inflation, the degree of exchange rate pass-through diminishes.

Economic stability and the increase in the transparency of the National Bank of Romania monetary policy raised the credibility of the central bank regarding the prospects of disinflation and lower exchange rate volatility. The effects of this stability were reflected by the decrease in the risk premium included in the prices charged by economic agents. The increasing competition in the consumer market, including that of imported goods, decreased the profit margin of producers, which had the effect of diminishing the influence of exchange rate on inflation. The presence of foreign investments in Romania led to a better management of the exchange rate, which resulted in decreased sensitivity of prices to the movements in the exchange rate.

The decline in the exchange rate pass-through has practical relevance due of the central bank's decision to move to inflation targeting in 2005. Historically, since 1990, the exchange rate was used as a nominal anchor for monetary policy. Once inflation targeting as a monetary rule was adopted, the attention towards the exchange rate has diminished considerably. In recent years the central bank's interventions on the foreign exchange market to influence the exchange rate in line with the bank's objectives, decreased both in number and volume. Under these circumstances the decline in the exchange rate pass into inflation is beneficial because the high volatility of the exchange rate that can occur over short periods of time will not necessarily influence the inflation target set by the central bank.

From a macroeconomic perspective Romania had to solve two major problems in the years after 1990: lowering inflation and fostering economic growth. Romania has had many difficulties in restructuring the economy and achieving macroeconomic stabilization, which impeded the country to obtain similar results with the other Central and Eastern European countries.

Within the group of transition economies from Central and Eastern Europe, Romania was the country with the highest inflation after 1990, but it has made remarkable progress in achieving disinflation. Figure 1 shows the dynamics of the inflation rate measured by monthly changes in the Harmonized Index of Consumer Prices (HICP), as well as the monthly changes in the exchange rate of the Romanian currency (leu) against Euro (or ECU, before 1999). It is easily observable that the significant reduction in inflation has been accompanied by a lower volatility of the exchange rate, thus diminishing the potential of high exchange rate pass-through into inflation in Romania.

Quantifying the size and speed with which the exchange rate is transmitted into inflation is necessary for the formulation of monetary policy decisions taken by the central bank, especially after the adoption of inflation targeting. In Romania, the exchange rate was

used as the main intermediate target of monetary policy for an extended period. Since 1999, the central bank acted to fulfil the objectives related to cumulative disinflation and maintaining a sustainable external position. To achieve these objectives, the central bank used the exchange rate as a nominal light anchor depending on specific purposes.

Figure 1. Monthly changes in HICP and RONEUR exchange rate, 1996-2013
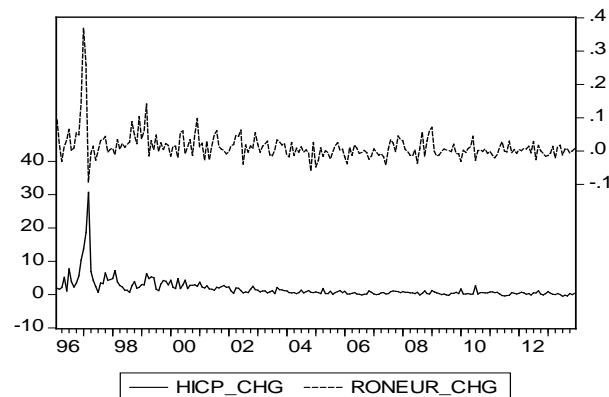
Source: EUROSTAT

Since 2001, Romania has adopted a successful combination of macroeconomic policies aimed at improving internal and external stability, lowering inflation and increasing international reserves. In August 2005, after sixteen months of preparation, National Bank of Romania adopted a new monetary policy rule, namely inflation targeting. During 2006, the disinflationary process continued, and the inflation rate recorded a substantial reduction – it actually stayed within the target for the year. The year 2007 saw the lowest annual inflation from 2000 to 2011, i.e. 4.8%, but inflation grew in 2008 7.8% p.a. and in 2009-2011 inflation fluctuated around 6% p.a. During the first and second quarter of 2012, the inflation rate continued its pronounced downward trend, reaching a new low level of 1.79% per month at the end of May, thus falling by 1.35 percentage points below the level at the end of 2011 and 1.21 percentage points below the centre point of the target range of 3% set for the year. Unfortunately, from June 2012 inflation rate shows a new uptrend and in September 2012, amid drought, it reached 5.33%.

By the end of 2012 the central bank attempted to maintain inflation in the upper band of 4%, but without success. Still, the annual inflation rate of 4.95% at the end of the year is below the projected inflation rate of 5.13%. If we consider the average annual inflation rate, we observe that at the end of 2012 Romania had a better position (3.3%) compared to the previous year (5.8%). Figure 2 shows the realised inflation rates between 2000 and 2012, calculated both as annual average and December to December change in the Consumer Price Index.

Figure 2. Realised annual inflation rate for Romania, 2000-2012
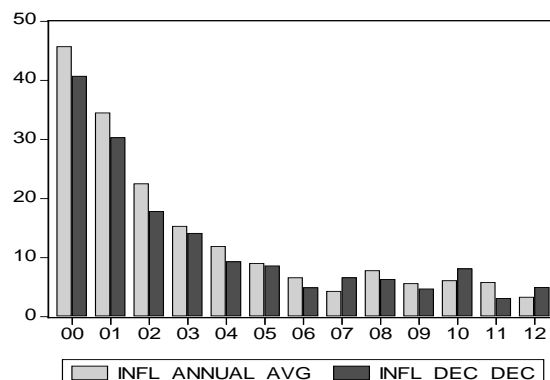
Source: National Bank of Romania Database

The news for 2013 were very good in terms of inflation, as the annual inflation rate measured using CPI rate reached an all-time low of 1.55 percent at end-2013 Q4, falling close to the lower bound of the ±1 percentage point variation band of the 2.5 percent target. The main factors that explain this evolution are the absence of pressures from prices of the agricultural and food products, as well as energy prices and the relatively stable exchange rate. Figure 3 shows the forecasts of the National Bank of Romania until 2015, according to the Report on inflation for February 2014. At the same time, it is worth pointing out that 2014 will be a difficult year in terms of inflation targeting, since it is an electoral year and politicians will be tempted to use various populist tools to attract votes, disregarding the need for macroeconomic stability.

As mentioned above, the relative stability of the Romanian currency exchange rate was a critical factor for prices' stability in 2013. Figure 4 depicts the monthly exchange rate of the leu (RON) against Euro between 2000 and 2012 and compares it with the evolution of other currencies from Central and Eastern Europe – Czech koruna (CZK), Hungarian forint (HUF) and Polish zloty (PLZ).

Figure 3. Inflation projections for Romania, 2013-2015
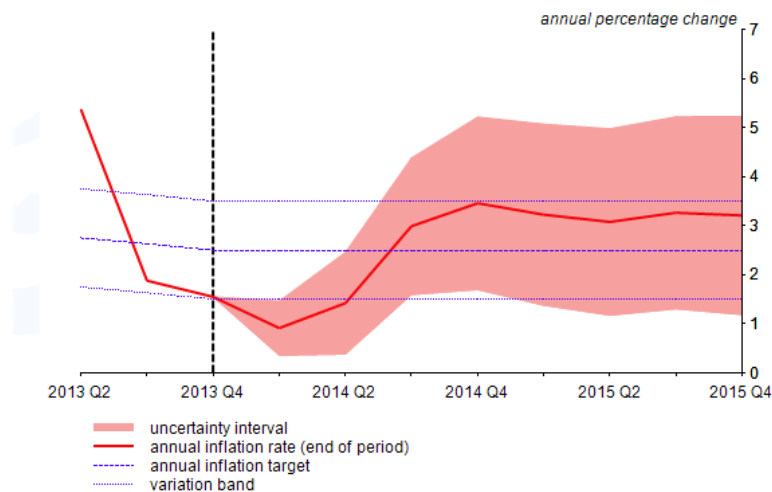
Source: National Bank of Romania

When we compare the Romanian currency evolution between 2000 and 2012 with the evolution of the other CEE currencies, we observe that over this period Euro appreciated on average on a monthly basis against RON by 0.67%, which was the highest change size for all four currencies – the Euro appreciated on average only by 0.9% against the Hungarian forint, but it depreciated against the Polish zloty by a tiny 0.0009% and against the Czech koruna by 0.16% on a monthly basis.

Figure 4. Monthly exchange rates against the Euro for CEE currencies, 2000-2012

Source: EUROSTAT

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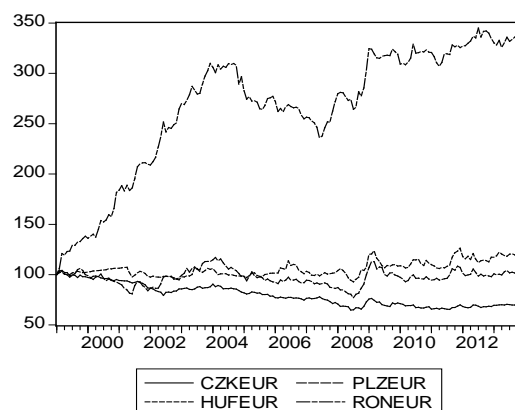
At the same time, the Romanian currency's volatility, measured by the monthly standard deviation of the exchange rate change, was second to the volatility recorded by the Polish zloty – 2.52% against 2.80%, while the volatility of the Hungarian forint exchange rate against the Euro was 2.38% and of the Czech koruna against the Euro was even lower, only 1.71% on a monthly basis.

Figure 5 shows the daily values of the RONEUR exchange rate in 2013 and we can easily observe the spike in the Euro in June/July 2013, accompanied by increased volatility, as well as the upward trend of the Euro towards the end of the year, following the Fed's unexpected decision to start tapering its bondbuying programme as of January 2014.

Figure 5. RONEUR exchange rate, 2013 (daily data)
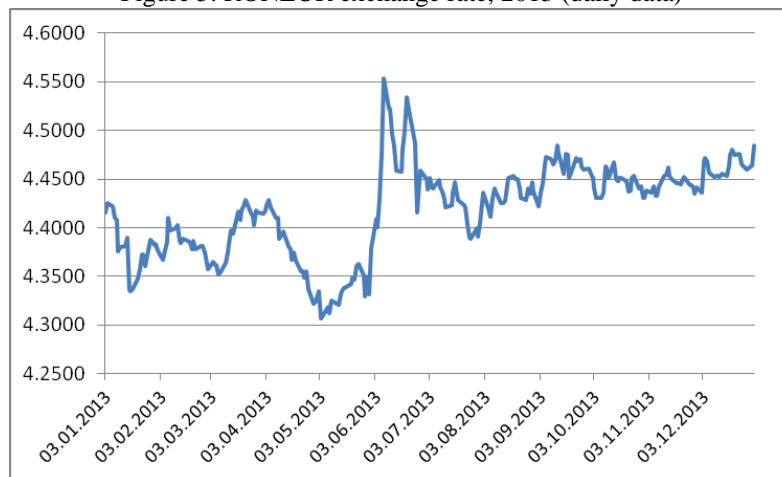
Source: National Bank of Romania

Conclusion

The exchange rate pass-through may be defined as the response of domestic prices to the changes in the exchange rate. The degree of exchange rate pass-through into inflation is important for the choice of monetary and exchange rate policy. In recent years, Romania embarked into a process of diminishing inflation, which influenced the degree of exchange rate pass-through into inflation. A higher economic stability, accompanied by an increase in the transparency of the National Bank of Romania monetary policy raised the credibility of the central bank regarding the prospects of disinflation and lower exchange rate volatility. Although Romania has achieved an all-time low annual inflation rate of 1.55% at en of 2013 Q4, and the forecasts until 2015 are optimistic regarding inflation targeting, a higher volatility in the exchange rate, as observed towards the end of 2013, which can encourage a higher degree of exchange rate pass-through into inflation, coupled with expected populist measures in an electoral year (2014) might endanger the central bank's objective to maintain inflation within the announced target of 2.5% and a variation interval of ±1%.

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THE NEED FOR CAPACITY BUILDING IN HUMAN RESOURCE MANAGEMENT RELATED ISSUES: A CASE STUDY FROM THE MIDDLE EAST (LEBANON)

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Abstract

The remarkable evolution in the twentieth century has been a result of a new perspective in understanding the importance of investing in individuals and organizational human resources, and the implementation of capacity building strategies in various organizations and in societies. This paper explores the case of ICO, an international consultancy organization, based in the Middle East, specialized in architecture, engineering, planning, environment and economics. This qualitative study, using thirteen selected semi-structured interviews, observations, and secondary data, has been conducted in the Beirut design office of the organization. The paper aims to examine major human resource related capacity building themes in ICO which include employee involvement and motivation, recruitment and selection, in addition to performance appraisal and reward management.

Keywords: Capacity building, performance appraisal, reward management, employee involvement, motivation, human resource management

Introduction

Capacity can be defined as the ability of humans, institutions and societies to perform successfully, to identify and reach their goals, and to change when necessary for sustainability, development and advancement purposes (Ubels et al., 2010). Capacity development is considered an endogenous dynamic process that relies on one's motivation, effort, and perseverance to learn and progress (Lopes and Theisohn, 2003) which enables organizations to change, flourish and grow. Some of the major capacities that enhance growth include leadership development and knowledge networking (Lopes and Theisohn, 2003).

The European Centre for Development Policy Management (ECDPM) explains its perspective on capacity based on five core capabilities namely "capability to act and self-organize, capability to generate development results, capability to relate, capability to adapt and self-renew, and the capability to achieve coherence" (Fowler and Ubels, 2010, pp. 18-21). Capacity development is very much related to the ways organizations operate (Fowler and Ubels, 2010). Culture bears an understanding of the way an organization operates, its procedures, beliefs and values; it is usually affected by the people employed in it, the past incidents, present influences, and the type of work it undergoes (Handy, 1999). New skills, competencies, and training are important features to be acquired in an organization for capacity development; material resources such as equipment and capital assets are also imperative for this purpose (Fowler and Ubels, 2010). Capacity development and its impacts should be continuously assessed in an organization, so that existing gaps could be filled to ensure constant progress. Disregarding capacity building programs would probably lead to lack of growth and possible failure.

This paper is based on a detailed case study of an international consultancy organization (ICO) located in Lebanon. The aim is to explore the extent to which capacity

building processes have been used to enhance human resources aspects (functions) of the organization and activities. To achieve this aim, first, the scope of the study and approaches to capacity building, namely traditional and modern approaches, will be discussed. Then, structure and culture of the ICO will be briefly presented. This will be followed by a more detailed discussion of the main functions of HRM in ICO including performance appraisal, employee involvement, recruitment, selection and retention. Finally, the main findings of the study will be presented and the relevant conclusions will be researched.

Scope of the study

This study is primarily based on thirteen targeted semi-structured interviews; these include eight employees and five line managers in the head office in Lebanon. Thus the study employs the exploratory case study research design (Yin, 2003). The researchers conducted one to one semi-structured interviews and made their discontinued observations over a period of 12 months; hence they generated primary data and collected available secondary data (information) to make sense of the activities and practices of the organization to prepare the present study - a case study. Following collection of the data, the data generated using semi-structured interviews were subjected to "thematic analysis". This resulted in identification of three interrelated themes. These themes are discussed in some detail in the discussion part of the paper.

Case studies are very often used in research concerning management and have become very common in business topics (Gummesson, 2000; Yin, 2003). According to Gummesson (1991, 2000), case study research can be implemented to reach either general conclusions from a few cases, specific conclusions from a single case, or to produce a theory from various cases and bring about some sort of change. In a case study research, data collection is usually broad and is derived from various sources of information such as interviews, observations, and documents or official publications (Yin, 1994). The exploratory method type applied in this research, which is normally used in business studies, involves the use of an experimental study in order to arrive at new hypotheses or more specific research questions (Gummesson, 2000).

Approaches to capacity building: an overview

Not surprisingly, the classical principles of management focus on principles for enhancing productivity and increasing efficiency by designing a coherent organization structure (Mullins and Christy, 2010). Emphasis is placed on the division of work, and designation of responsibilities and duties for promoting the functional principle (Mullins and Christy, 2010). Personnel management is one of the significant principles incorporated in traditional organizations, whereby training and development programs, welfare programs, salary incentive programs, and upgraded working conditions are implemented (Analoui, 1999; Pindur et al., 1995). Higher work output and above average performance is measurable and awarded with higher wage rates as a motivation incentive, since it is assumed that the employee's only purpose is to increase his/her income (Pindur et al., 1995; Kakabadse et al., 1988). Coordination between management and staff is considered crucial for improving productivity in terms of quality and quantity (Mullins and Christy, 2010). The role culture is a dominant feature in classical organizations, whereby the emphasis is mainly concentrated on the tasks allocated by senior management; the activities are well coordinated and planned (Handy, 1999). From this perspective, the organizational structure is a formal hierarchy characterized by an authoritarian leadership style where the primary focus is on the organization and its needs; interaction is only vertical and knowledge exists at the top management level (Pindur et al., 1995; Mullins and Christy, 2010). It's obvious here that organizational capacity development is supported through these classical management

processes since they focus on improving organizational operations and promote division of tasks. However, these processes do not advocate organizational learning, development of employee skills, job satisfaction, social interactions and effective communication among all hierarchy levels which are essential for human capacity building.

The management process in modern organizations characterized by their open systems (Analoui, 1999, 2007), is considered a circular continuous cycle consisting of people working in groups aiming to reach specific objectives and focusing on human relations/behaviours and social needs (Pindur et al., 1995; Mullins and Christy, 2010). Employees perform better and are more satisfied when they are treated by senior managers as people, and when their innovative ideas are taken into account and encouraged by the senior managers (Kakabadse et al., 1988). The open system is more prevalent (Analoui, 1999) in modern organizations; it involves an informal structure where tasks are non-monotonous, knowledge exists at all levels of the organization, and interaction among employees is vertical and horizontal (Pindur et al., 1995). Communication can be both formal and informal; informal communication encourages different departments and hierarchy levels to interact more easily and share knowledge, and it is especially useful for team building (Analouei, 1999). Organizations can be informal and flexible, thus characterized with more efficient communication and somewhat indeterminate relationships (Mullins and Christy, 2010).

Human capacity building is mainly enhanced by encouraging the participation of employees in decision making and by maintaining close relationships with the employees (Pindur et al., 1995). Senior managers in modern organizations advocate human capacity building through development of employees' professional skills and promotion of teamwork (Pindur et al., 1995). This is enhanced through the applied leadership style which is considered democratic; hence the power is more widespread (Mullins and Christy, 2010). The task culture is mostly incorporated in modern management organizations which sponsor change and adaptation; it is characterized by being a team culture where an employee can exercise more control over his/her work (Handy, 1999). Professionalism, respect and good relationships thrive in this type of culture (Handy, 1999). Effective communication and coaching from the senior managers to their subordinates can promote knowledge sharing, organizational learning, and effective leadership capacity building (Roddy, 2004). Continuous feedback and performance appraisal by senior managers are important for the employees' performance enhancement and motivation (Keegan and Den Hartog, 2004).

Whilst the above characterizes the extreme position for the organizations and their effort and contribution to capacity development, nevertheless, they can provide a dichotomy for better understanding of the ICO position and philosophy to employee management and its capacity building as a whole.

International consultancy organization: a case study
Description of ico organization

The company was founded in 1956, and is one of the world's well known international design consultancies in the world. It started its operations as a small engineering practice in Beirut, and gradually gained recognition as a young and innovative company. Focusing mainly on design of infrastructure, public facilities, housing and industrial plants, ICO managed to obtain international reputation and widened its area of services. In a few decades, ICO expanded into a full-service firm providing master planning, architecture, engineering and economic services. The company has eleven technical departments which include mechanical and industrial engineering, electrical engineering and telecommunications, resources and environment, transportation, town planning and landscaping, architecture, structural engineering, geotechnical and marine engineering, bridges, economics as well as project management and contracts. Other departments consist of the human resources, quality

management, and the information technology departments. Since the 1970s, the company expanded geographically and now has headquarters in Asia, Europe, Middle East and Africa. The firm also diversified geographically and acquired organizations in North America, Asia, and Europe. Therefore, "the company is now considered to have multidisciplinary services in a very wide geographic area" (ICO Employee Handbook, 2012).

Organization structure

ICO has over 6300 employees located in offices throughout the Middle East, Europe, CIS and Asia. It has established the ICO Group, an international network of professional service firms that includes 12,000 staff members, with clients in over 100 countries around the world. ICO is characterized by having a hierarchical structure and a specific grading system for its employees. Its grading structure ranges from grade P1 to grade P6; grade promotion basically depends on the employee's years of experience and the employee achievement and development review (ICO Employee Handbook, 2012).

Organization Culture and Values

The dominant company culture can best be described as a combination of task and role cultures (Handy, 1999) with emphasis on position rather than individual and the need for commitment on the part of the employees to the work, people and global concerns; it strives to build relationships between the company and its clients which are based on trust, honesty, integrity and pride. The values on which ICO Group relies are centred on transparency, results and high standards. These values include commitment to clients as well as commitment to excellence and quality through the development and implementation of a Quality Management System; in addition ICO as a Group recognises its obligations to social responsibility through the relationships the organization builds with governments, citizens and communities by equitable employment practices and community involvement (ICO Employee Handbook, 2012). In the remaining part of the paper, three main human resources functions of the company will be examined in more detail.

Performance appraisal at "ICO"

Achievement and Development Review (ADR)

Employee performance appraisal, mainly an evaluation process, is based on the achievement and development review (ADR). The ADR consists of an assessment of an employee's technical and behavioural proficiencies, in addition to a development action plan which the employee sees appropriate for him/her; technical skills demonstrate the technical qualifications in the area of specialty (e.g. technical ability and continuous learning, productivity and achievements, special technologies) while behavioural competencies relate to the employee's personal behavior towards the company and the work (e.g. communication skills, teamwork, leading ability, dedication and commitment). The development action plan is derived directly from the employee's objectives (projects, tasks, etc.), technical skills and behavioural competencies (See Table One).

The ADR goes through the following statuses:

Table 1: ADR Stages of employee performance evaluation

Initiated	Evaluation has been initiated by HR dept.
Submitted to evaluator	Employee submits the evaluation to his/her main evaluator.
Returned to employee	Evaluation returned by main evaluator for correction.
Finalized	Main Evaluator finishes the evaluation and submits it to employee for checking.
Submitted to HR	Evaluation has been submitted to HR for revision.

Source: ICO Employee Handbook, 2012

The company uses the following "performance-rating guide" (See Table Two):

Table 2: Performance Rating Guide at ICO

Rating	Sub-Rating	Description
Excellent (4.5/5 and above)		Objectives are fully achieved on a continuous basis which significantly surpasses job duties and responsibilities. Employee is highly innovative, often initiates improvements, and basically functions without guidance.
Proficient	High Proficiency (between 4/5 and 4.4/5)	Objectives are achieved which often exceed job duties and responsibilities. Employee is innovative, initiates improvements, and requires minimal supervision.
	Proficiency (between 3/5 and 3.9/5)	Objectives are achieved and may exceed job duties and responsibilities. Employee occasionally initiates improvements and requires a moderate amount of supervision and follow-up.
Unsatisfactory (2.9/5 and below)		Objectives are often not achieved. Employee does not initiate improvements, requires considerable and frequent direction. Work consistently performed without improvement will result in performance improvement plan, reassignment, or outplacement.

Source: ICO Employee Handbook, 2012

Performance Appraisal and Reward Management

The ADR is required to be completed by the employee, and is based on the employee's perception of his/her development and progress. The ADR comments prepared by the employee for each category are assessed and reviewed separately by the project manager/head of design unit (Line Managers) and soon after that the department director. Alarmingly, no constructive or professional dialogue/feedback is conducted between the project manager/head of design unit or director and the subordinate employee. It is reported by employees that,

"…the ADR is not taken seriously as a means of performance evaluation." (Interview No. 12)

An employee commented,

"Performance rating and evaluation is not very clear regarding its relation with the promotion scheme, whereby an employee might get promoted for vague reasons that is often unfair to other employees." (Interview No. 7)

The researcher also observed that the department director who distributes bonuses and salary increases to the employees is not much aware of the employees' work performances. Another experienced employee stated,

"In one of the reward distribution occasions at ICO, a department director praised an employee for his remarkable performance due to the substantial bonus the employee received; two weeks later while allocating the salary increase notifications, the director criticized the same employee he acclaimed two weeks earlier for ineffective performance." (Interview No. 4)

In modern organizations, goals related to the organization's objectives and projects' aims should be clearly set for employees in order to be effectively appraised according to these goals and criteria, and then given the feedback and comments for improving their performance (Lewis, 2006; Redman, 2006). Performance management systems are usually comprised of a systematic review procedure which detects the progress attained and consequently specifies the training and developmental needs of the employee being appraised

as well as the rewards to be gained (Redman, 2006). It is therefore imperative to note that effective job performance is based on both motivation and skill; skill can be enhanced further through the provision of appropriate training and development (Newell, 2006; Analoui, 2007). Motivation on the other hand depends greatly on the person's attitude and principles, as well as the behaviour and beliefs of the people who are interacting with him/her (Analoui, 1997; Newell, 2006).

Reward strategies play a major role in maintaining a 'sustained competitive advantage' (Kessler, 2001; Analoui, 2007). Reward systems ensure the accomplishment of fundamental Human Resource Management (HRM) goals such as commitment and quality, and aim at creating high performance organizational cultures (Armstrong, 2010; Bratton and Gold, 1999). Appealing reward systems are known to draw the attention of highly experienced people, and can also decrease turnover rates in an organization (Bratton and Gold, 1999). Both financial and non-financial rewards are required in an organization's reward system (Lewis, 2006). Non-financial rewards such as recognition, appreciation, accountability, and personal development are considered significant motivational factors for employees; these targets can be achieved through more challenging work, job enrichment, more employee involvement, greater autonomy for employees to select their own approach to complete their work and to set their developmental goals and requirements, as well as defining their performance standards (Lewis, 2006).

At ICO, it is observed that higher bonuses are granted to people who "do more overtime hours", without considering the employee's effectiveness and efficiency. In one case, it was reported that an engineer with P3 grade, was given only 1 month salary as bonus (employees in this grade usually receive 3 to 4 month salaries as bonuses). The discontented female employee commented,

"I completed my tasks within the working hours, so as to save some time for my personal life and family. When I approached the department director and asked why I received a relatively low bonus, he replied, 'the main reasons are that I don't know how effective you are or the type of work you do, in addition to the fact that you don't put overtime hours.' " (Interview No. 5)

Another employee said,

"It is obvious that the department directors do not do their jobs properly…they do not evaluate their staff's achievements appropriately." (Interview No. 3)

Interestingly, it was observed that employees have learnt to demonstrate their effectiveness and efficiency by staying overtime; a line manager suggested,

"Unfortunately, the majority of staff at ICO waste a big fraction of their working hours by not being productive, in order to work during their overtime hours and consequently get higher bonuses. In a way, the company's reward management system is promoting inefficiency, incompetence and lack of productivity." (Interview No. 11)

Employee involvement and motivation

The lack of employee motivation at ICO is partly due to the fact that project engineers, mainly classified as P1 and P2 grades, are not involved early enough in the projects, especially at the planning and data collection stages. Also, they are very often not invited to attend meetings.

As one engineer commented, "Only project managers and team leaders attend these meetings." (Interview No. 2)

Consequently, there is high turnover rate for junior engineers at ICO. As a line manager explained,

"Managers often cite imminent project deadlines and lack of time as the reasons for not being able to coach and involve their subordinates. The involvement of project engineers

is a crucial aspect for employee commitment and motivation, and leads to better results and improved work quality." (Interview No. 6)

Employee involvement (EI) is considered an essential HRM practice since it can lead to a high degree of employee commitment through involving and empowering employees (Marchington, 2001; Dundon and Wilkinson, 2006). EI can be implemented through effective communication between the managers and their subordinates, as well as by encouraging employees to be creative and share their ideas with their managers for problem solving (Marchington, 2001; Dundon and Wilkinson, 2006). Therefore, project engineers feel that they ought to attend the meetings and receive the adequate coaching from their line managers/project managers; this is very effective in promoting knowledge transfer (Roddy, 2004).

EI can also be further enhanced through employee participation in a bigger variety of tasks, team working, and financial involvement through the formation of an association between the employee's rewards and his/her department's performance (Marchington, 2001; Dundon and Wilkinson, 2006). Employee participation or involvement is also based on the extent of influence employees have on decision-making in an organization, and it can range from just being informed of the decisions made to having an impact or control over these decisions (Dundon and Wilkinson, 2006). For EI to be successful, managers are required to be fully committed to it (Marchington, 2001). As an engineer remarked,

"There is little chance of involvement for the most of us. Often decisions are made and presented to us… we are just implementers." (Interview No. 1)

High turnover rates suggest that employees are not satisfied with their jobs; this can negatively influence the organization's image in the market, with respect to the clients and future candidates applying for jobs at the organization, and can imply that the organization's management is weak (Torrington et al., 2005).

Due to high turnover rates at ICO, employee retention is deemed essential; this is basically achieved through six major avenues which are "pay, managing expectations, induction, family-friendly HR practices, training and development, and improving the quality of line management" (Torrington et al., 2005, p. 171). Knowledge networking can be promoted through effective communication and mentoring from the line managers/project managers to their subordinates (Roddy, 2004). An experienced line manager commented,

"Meetings of the work teams should be held regularly and frequently to review progress, and generate ideas, and suggestions. It is essential to provide the team members with a chance to play a role in the decision making … this would help motivating and encouraging open communication and collaboration among the staff … this is not rocket science." (Interview No. 9)

This also makes the organization more organic (Gardiner, 2005). It is evident that ICO management needs to realize that the engineer's needs for involvement and professional development can contribute effectively to the organization's strategic objectives (Keegan and Den Hartog, 2004). It is reported that organizations which lack competencies and skills among its employees are less likely to introduce innovation and creativity in the workplace (Grugulis, 2006).

Human resource management recruitment, selection and retention

The recruitment and selection procedure in an organization usually shows the strategy an organization follows for managing people (Bratton and Gold, 2007). It is reported that ICO is not aware of the costs incurred if candidates are not selected properly; these include the costs of training new employees and the cost of employee turnover. An experienced manager commented,

".. they [the senior managers] are not aware of the cost of losing trained and experienced employees… every time someone leaves not only some resources are wasted but also more resources are needed to recruit and train the newcomers…if only they were aware of this." (Interview No. 10)

It was also reported that at ICO the employees with bad experience in the organization tend to discourage potential applicants from applying for vacant posts; as an employee observed, "the management should realize that this whole process could adversely affect the ICO image in the market." (Interview No. 8)

A line manager revealed that in one incident at ICO, the Human Resources (HR) Department Manager openly said, "Every employee at ICO is dispensable; no one is that exceptional." (Interview No. 13)

It is evident that the HR department's responsibility to recognize the potential of current employees and to arrange for the most deserving employees to progress and take on more senior roles for employee retention (Newell, 2006) is not acknowledged.

Conclusion and recommendations

It can be deduced that classical management theories advocate organizational capacity development with the focus being on the organization's needs and objectives. On the other hand, modern management theories tend to pay attention to the importance of human relations and their psychological social needs. ICO is recognized to be mostly dominated by classical bureaucratic management principles and practices. The major restrictions which are impeding ICO's organizational and human capacity building processes involve performance appraisal and reward management systems, employee involvement and motivation, as well as human resource management recruitment, selection and retention. Recommendations for addressing these constraints will surely have implications for other similar organizations. These include:

The senior managers require development and training in order to gain more insight and awareness of their managerial effectiveness for enhanced capacity building purposes. Therefore, management development of the senior managers should be planned strategically, in order to enhance their own self-development and self-management.

Transformational leadership should be advocated in the organization, since it can bring about new changes and strategies, and can consequently lead to corporate sustainability and further success. Senior managers need to act more as transformational leaders by motivating and leading their employees to perform better and be creative.

The achievement and development review (ADR), which should be the cornerstone for promoting engineers from one grade to the other and for compensating/rewarding them, has proven to be inefficient in measuring employee performance. It is imperative that employee performance and accomplishments be assessed against set objectives that are predefined for each employee grade or phase in his/her career. The employee at ICO would be better evaluated using a 360 degree appraisal approach, whereby the evaluation committee would be informed by important stakeholders such as the project managers, area managers or coordinators of the various departments, and the clients.

At ICO, rewards should be based on more specific and targeted employee criteria rather than a more holistic approach. This implies that rather than assigning bonuses according to the years of experience, years spent in the company (mistakenly referred to as employee commitment) and overtime hours, other factors should be taken into account such as skills, progress and development, achievements and feedback obtained from all of the involved parties which include the group leaders and the project managers (360 degree appraisal approach). The appraiser ought to be aware of all of these factors in order to be able to reward the employee fairly, and to offer incentive based compensations for more

deserving/outstanding employees. Promotions that require higher work load should be accompanied by the appropriate rewarding policies.

Human resources procedures and systems need to be updated for more effective employee recruitment, selection, and retention, and should include clearer non-biased performance appraisal plans and reward systems. The HR department is required to play a substantial role in achieving the organization's strategic plans and objectives. Therefore, the HR department should expand to handle additional tasks involving effective recruitment and selection, training and development, as well as being able to provide an adequate support system for employees to address their needs, concerns, and problems/difficulties. It is recommended that a human resources representative be present and actively participate in the board of directors' monthly meetings.

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NEUROSCIENCE TECHNIQUES AND THE PRIMING PROCESSES SIGNIFICANCE TO NEUROMARKETING ADVERTISING

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Abstract

Neuromarketing is an innovative field of research which challenges the classic marketing model that has failed to fully understand the customer's cognitive and affective drives for the purchasing decision. This research seeks to explore the contribution of neuroscience techniques and findings as well as the priming processes to promote the efficiency of commercial advertising of consumer goods in modern society. The neuroscience techniques which are Functional Magnetic Resonance Imaging (fMRI), Steady State Topography (SST), galvanic skin response (GSR), Eye tracking, Magneto-encephalography (MEG) reveal the human brain activity or heart pulses when exposed to marketing messages to highlight the brain responses to the ads. The pre/post testing techniques assess the ads degree of engagement to influence the consumer's brain. These techniques aim to unveil the subliminal drives behind the purchasing decisions and identify the extent to which the ad draws the consumer's attention and affecting his emotion in order to better satisfy the his needs and boost the sales. Nevertheless, despite the scientific significance of neuroscience and the concision it offers about the consumer's engagement, the neuroscience techniques are not tools of designing the ad itself. It is the role of the priming processes to provide the marketers with the necessary techniques to design effective ads. These processes are: brain stimuli and the deep metaphors. The main concern of this article is to pinpoint the complementarity of neuroscience techniques and the priming processes in shaping neuromarketing ads.

Keywords: Neuromarketing, neuroscience, emotional analysis, attentional analysis, priming processes

Introduction

For many decades, the engagement of the customer with the brand has become a priority for marketers and advertisers and marketing processes aiming to minimise the risks, to boost the sales and to guarantee return on investment (ROI) through understanding and satisfying the customer's needs (Williams 2007); (Shaw and Jones 2009); (Morin 2011). Neuroscience research and findings about the human mind and its subconscious mechanisms, as far as buying and advertising is concerned, brought about a shift of paradigms towards the neuroscientific perspective of marketing (Boricean 2009); (Shaw and Jones 2009); (Morin 2011) as customer surveys, interviews and questionnaires alone were not reliable sources of research data (Williams 2007); (Ferguson 2007). Since 2000, a new field of marketing research and application, namely neuromarketing, has been adopted by several advertising companies. In this research, there is an overview of the techniques and processes that neuromarketing advertisers use to identify the customer's needs and to better satisfy them and to test the marketing messages reliability. However, neuroscience techniques are not tools to design the advertising messages which paves the way to the need for the interpretive techniques such as deep metaphors and the six brain stimuli in order to design engaging marketing messages and respect the consumer's emotion-bound purchasing decisions. (Morin

2011) ascertains that "neuromarketing offers cutting edge methods for directly probing minds without requiring demanding cognitive or conscious participation.There are two parts in this research, part one defines neuromarketing and explores the relevance of neuroscience to neuromarketing. Part two describes the priming processes: the six brain stimuli and the deep metaphors used by neuromarketing advertising agencies to design its ads.

Neuromarketing

Neuromarketing is mostly defined as a new field of marketing research studying consumers' cognitive and affective responses to different marketing stimuli (Zaltman and Zaltman 2008; Boricean 2009; Morin 2011; Zurawicki 2010; Dooley 2012). Its objective is to unveil the subconscious mechanisms governing the customer's decisions. That is why it delves into the interdisciplinary interface of different sciences, such as neuro-anatomy (morphology and connectivity), neurology (the cerebral system and its treatment), neuropsychology (intelligence and emotions), neuro-endocrinology (the connection between the nervous system and the hormonic one), and the cognitive neurosciences (the connection between the nervous and the cognitive system).

Neuromarketing research is based on neuroscience findings and techniques, which unveil the cognitive and affective mechanisms governing the purchasing decisions (Williams 2007); (Ferguson 2007) ;(Morin 2011). However, apart from neuroscience techniques and findings, the six brain stimuli and deep metaphors provide the advertisers with the opportunity to better attract the customer's attention to the product and make him/her buy. Neuromarketing has a direct action on the human brain. The brain anatomy reflects the parts affected by advertising and the emotion-bound aspect of purchasing decision.

The human brain anatomy

The human brain has a complex structure whose parts are interconnected. A brief description of the brain anatomy and functions according to Zurawicki's model, (Zurawicki 2010) will account for the different parts of the human brain and lay special emphasis on the parts involved in the consumer's behaviour. The human brain is composed of the cerebral cortex, the cerebellum and the brain stem. As for the limbic system, it encompasses the thalamus, the hypothalamus, amygdale, hippocampus and cingulated cortex (located above corpus callosum) and deals with emotion formation and processing, learning and memory (Zurawicki 2010). The limbic system is located in the deep structure in the subcortical part of cerebrum and related to the consumer behaviour and his decision-making. The deep understanding of this part and how it processes information provides marketers with interesting insights of how stimulating and responding to consumer's needs (ibid). The "almond-shape amygdala" is located in the medial part of the temporal lobe [fig1.1]. It acts as a repository of unconscious emotions and memories. Hippocampus is positioned in the basal medial part of the temporal lobe and surrounds the thalamus, hypothalamus and amygdale (ibid).   The hypothalamus is responsible for the most elementary emotions, such as hunger, thirst, pain and pleasure (ibid. 36). Emotions "express what the world means to the individual and determine a subjective well-being" (Zurawicki 2010, 35); that is why purchasing decisions are emotion-driven. Emotions and satisfaction are interrelated, and purchasing is one stimulus that triggers a sense of satisfaction. Zurawicki (2010) further argues that emotions can be positive enhancing the human well-being or they can be negative worth avoiding. The ultimate objective of customer's purchasing is his satisfaction and well-being either through an attracting positive emotion elicited by the ad or through avoiding a negative emotion elicited by the ad (Zurawicki 2010)
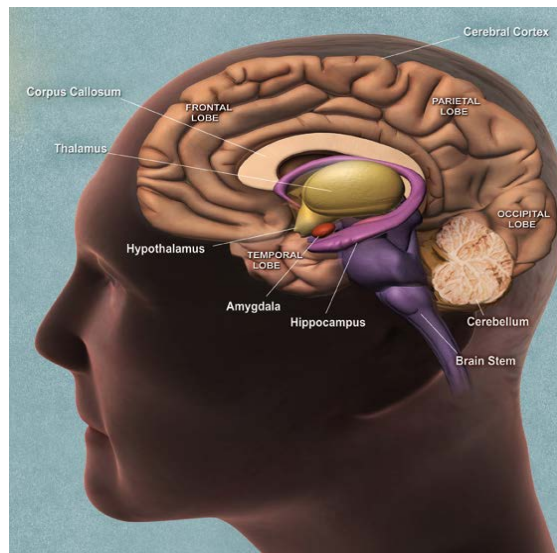
Figure 1. Anatomy of the human brain.

This figure (Fig 1.1) exhibits an overview of the brain anatomy where the major parts of the human brain, the four lobes and the limbic system are revealed. Different areas of the brain are activated as a response to different stimuli, which is revealed by the neuroimaging techniques.

Neuroscience techniques

Neuromarketing uses neuro-imaging techniques and tries to explore and explain the underlying cognitive and affective processes underlying purchasing decisions. Thanks to neuroscience techniques, neuromarketing "delves right into customer minds" (Tolon et al 2004,

Functional Magnetic Resonance Imaging (fMRI)

It shows the flow of blood as a response to a stimulus (Morin 2011). The action of buying, for example, involves a bigger supply of blood support to support the customer's decision shown by fMRI (Tolon 2004). When the customer has a particular interest in a certain product, the brain's medical prefrontal cortex lights up showing an increase of neural activity (Tolon 2004, 2; Morin 2011) (fig 1.2). In fact, this area of the brain is associated with preferences and choices. Consequently, the lighting up of this area at the sight of a particular product means that the consumer is more likely to purchase it (Randall2009).
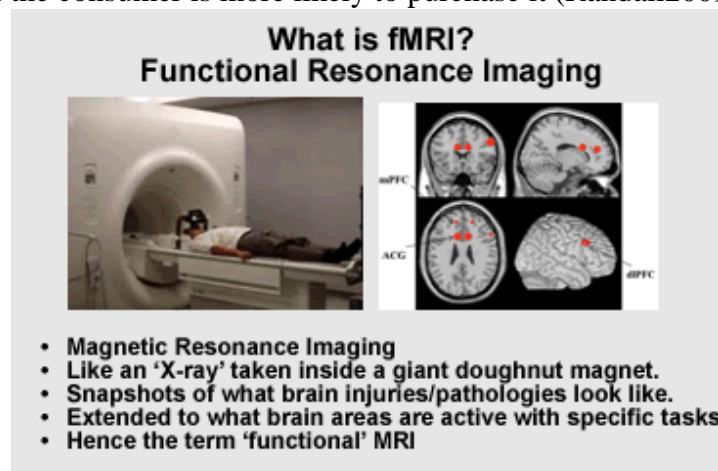
Figure 2. fMRI device and brain image performed by fMRI

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This technique is used to identify the emotional responses in the consumer's brain to advertising messages in order to measure the impact of the ad on the consumer.

Steady State Topography (SST)

There has been a long history of electro-dermal activity research, most of which dealing with spontaneous fluctuations (Zurawicki 2011). It monitors the brain activity and its responses to stimuli especially advertising. It brings neuromarketing research closer to an accurate measurement of advertising effectiveness because it depicts the impact of advertising on memory and its relation to brand preference change.
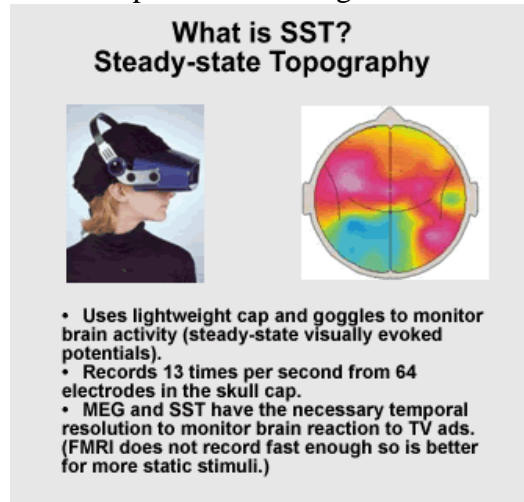
Figure 3. SST device and the image of the brain performed by SST.

Galvanic Skin Response (GSR)

It is also known as electro-dermal response (EDR), psycho galvanic reflex (PGR), or skin conductance response (SCR) (Sutherland 2007). It measures the electrical resistance of the skin showing electro-dermal activity. The customer is subjected to GSR in order to detect responses to different stimuli. In the neuromarketing context, it is used to identify the emotional responses to ads (ibid)

Electroencephalography (EEG):

Neurons are defined in Morin (2011) as "the cells responsible for the biological basis of our cognitive responses". As a response to a stimulus, such as an ad, these neurons emit electrical signals amplified by the EEG and put out in form of brainwaves (ibid). Electrodes are placed on the scalp of a test subject using a helmet or a band (Morin 2011). EEG simultaneously 'views' the brain activity "in various regions by measuring brain wave activity across the scalp" (Williams 2007).

Eye tracking

Eye tracking is used in research on the visual system, in psychology, in cognitive linguistics and in product designs using an eye tracker (Sutherland 2007). The most popular variant uses video images from which the eye position is extracted (ibid). Other methods use search coils or are based on the electroculogram. They record eye movements showing that the observer's attention is usually held only by certain elements of the picture. When a test subject is looking at an ad, eye tracking follows where the subject is looking at and in what order. This is done by artificial intelligence software (Sutherland 2007). Accordingly, the eye tacking analysis shows the scan path and eye gaze of the customer, revealing the customer's engagement to the ad elements. The ad elements/ variables comprise the logo, the brand, the caption and the product. In this piece of research, these elements are referred to as the ad

elements, items or variables. The scan path and the eye gaze focusing on the ad elements reflect the effectiveness of the ad. In this vein, (Scuili et al 2012, 92) points out that "it is proposed that by examining eye fixations, durations, and saccades, the effectiveness of a given promotional tool may be determined and, in fact, approved upon. Wedel and Pieters (2000) examined an individual's eye fixations on print advertisements and their ability to remember brands".

Figure 4. Eye tracking

The following visual is an instance of eye tracking analysis which reflects the scan path results in lines and eye gaze results in numbered circles on the variables of the ad. The numbers show the order of the eye gaze attracting the customer. In the following ad, eye tracking analysis reveals which elements of the ad are focused on by the viewer's gaze and the scan path.

Figure 5. An example of an eye tracking analysis

Magneto-encephalography (MEG)

This technology has the same role as fMRI but is faster as it detects the brain activity. It has some advantages over EEG because the magnetic field is not hampered by the type of the tissue in the brain. So, the magnetic field can go as deep as required (Zurawicki 2011).
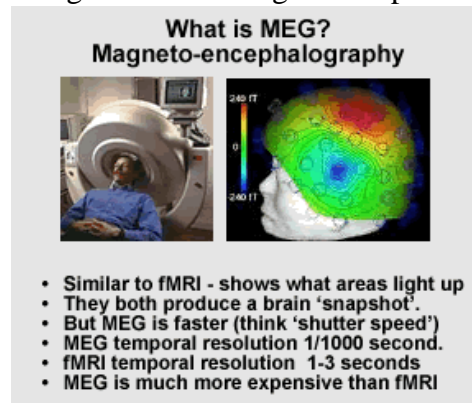
Figure 6. MEG brain image showing the areas of the brain lighting up

These techniques of psycho-analyzing the human cerebral activity help to understand the sphere of emotions, sensations and desires through the lighting up of certain areas as a response to an ad and are translated into effective and valuable marketing guidelines (Sutherland 2007; Morin 2011). As a result, marketers can identify the highly engaging positive response to a particular ad and press the buying button in the customer's minds (Ferguson 2007; Renvoisé and Morin 2007). The following subsection deals with the pre/post testing analyses which assess the ad effectiveness in terms of emotional and attentional engagement of the customer.

Pre/post testing analyses of the advertisement

The pre-post testing of advertising is a scientific technology based on the simulation of the human mind translated in algorithmic formula depicted by the artificial intelligence software.

Eye tracking analysis

Eye tracking is the study of the eye movement and the eye gaze of the customer while watching the ad. It is also called attentional analysis as it determines which items attract the customer's sight in the ad and in what order. This is ascertained by (Dufresne et al 2010, 1): Eye-tracking measures are being used regularly to analyze what are the points of fixation, the duration of fixations and the scan paths, in order to follow what are the zones of interest and at the opposite, which information or navigation elements may have been missed by users. These measures are used along with usability methodologies to evaluate applications before they are made accessible.

Figure 7. An attention analysis

Emotional analysis

Zurawicki (2010) defines emotion as unconscious sensations that generate pulses and affect human reactions and attitudes towards different stimuli. As for stimuli, the ones accompanying emotion-producing experiences become the emotion-generators because they are internalized as proxies for rewards/ punishments Zurawicki (2010). In this regard, positive emotion is equated with satisfaction. So, the association between the items eliciting emotions in an ad has a direct influence on the customer. Zurawicki (2010, 100) insists that "when a certain emotion is experienced, it activates particular nodes in the person's associative networks bringing related facts to mind". These associations are used in advertising to enhance customer emotionality and boost sales. For example, the use of babies, who are strongly associated with the need of security and vulnerability in ads, has a special effect on the customer's mind (Dooley 2010). As noted in Dooley (2010), the image of the baby embeds a significant load of emotions.

The following visual (fig 8) is performed by the fMRI technique displaying the brain emotional response to the baby presence in an ad and the brain emotional response to the

presence of adults in an ad. The different locations of the responses show the emotional appeal of the babies in ads to the customer. Babies elicit emotional response on the frontal part of the brain and adults elicit a brain response in the back of the customer's brain.
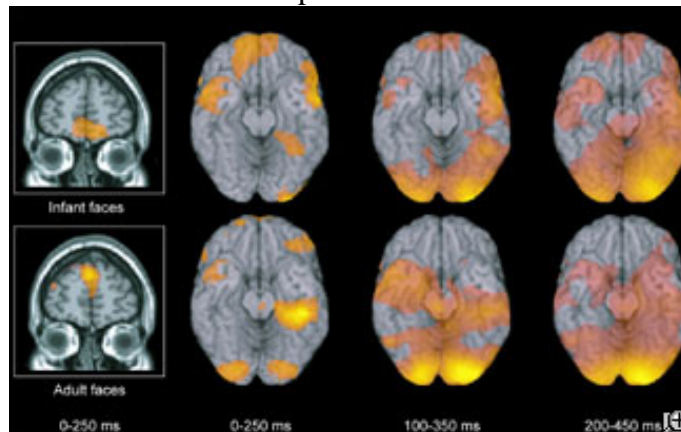
Figure 8. The difference between brain responses to the baby (frontal part is activated) and those to the adult (the back of the brain is activated)

As for emotional analysis on ads, it is meant to reflect the customer's attraction to the product and the variables related to it, such as the logo, the caption, the image and the people.
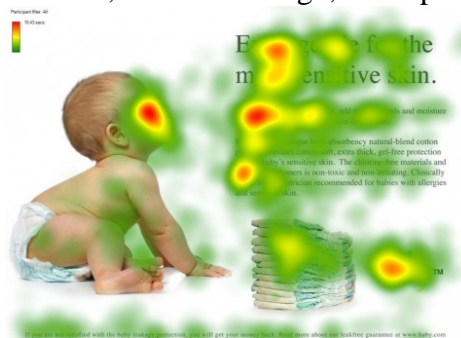
Figure 9. An example of emotional analysis

In case of effective ads, these analyses (the emotional and the attention ones) should highlight the focal variables such as the product, the product name, the caption, the logo and the characters in the ad. Otherwise, the ad is not attracting the customer and there is no customer engagement.
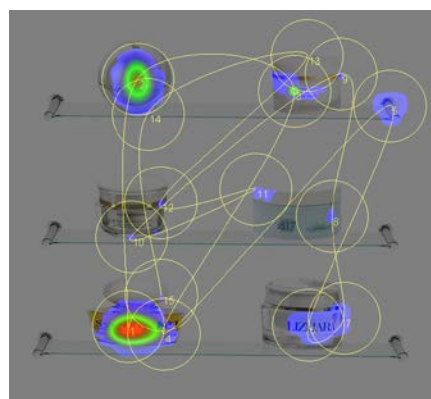
Figure 10. An example of an effective ad

The application of priming processes to neuromarketing advertising: brain stimuli and deep metaphors

Brain stimuli

In this section, we seek to explore the relevance of the six brain stimuli to neuromarketing advertising. These priming processes are used in advertising in order to design effective ads. That is, their role is to better benefit from the neuroscience findings as far as consumer's behaviour is concerned to stimulate the customer's needs and boost the sales. Based on neuroscience findings such as the supremacy of the old brain (the reptilian brain) in decision-making and the emotional drives behind decision-making, marketers adopt techniques, such as the brain stimuli, to design effective ads. This is stated in the following quote from (Morin 2011):

What Damasio and many others have demonstrated is that while we appreciate and even worship our cognitive abilities, the brain has been dependent on instinctual responses for millions of years. And it will continue to do so for a long time since biological adaptation to a fast changing environment is too slow. What does this mean from a neuromarketing perspective? It means that there are specific principles that should apply to advertising messages in order to optimize the processing of information at the level of our brain.

The six brain stimuli are the stimuli that influence the customer decision making and they are represented in the following visual.
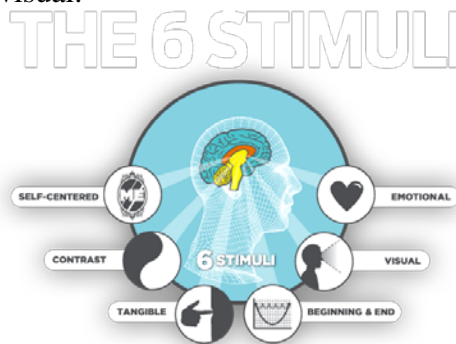
Figure 11. Representation of the six brain stimuli and the parts of the brain they influence

According to Zurawicki (2010), studying the consumer's brain and behaviour refers to the way people perceive, learn, remember and feel as far as products or services are concerned. The consumer's experience of consumption and the sensations involved are unveiled by the neuroscience techniques and are crucial to the understanding of the consumer's behaviour.

Besides, measuring the consumer's emotional engagement using   simulation techniques while exposing the consumer to different stimuli reveal how the human brain responds to these stimuli and provides the marketers with the tools stimulating and enhancing the buying as stated in the following quote by Zurawicki (2010, 64): "human brains are wired to respond to novelty. It has been namely shown that dopamine whose secretion is linked to pleasure is also released when people encounter new stimuli." Accordingly, marketers use different stimuli while designing ads to convince the brain and to enhance the buying. These stimuli are: ego, emotionality, tangible facts, contrast, visual and story-telling.

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The product mirroring customers' needs and their satisfaction is the core of neuromarketing advertising, as stated in (Zurawicki 2010, 200): "I am what I buy".

Emotional aspect of ads

The limbic system in the human brain is responsible for the emotions whether they are positive or negative. In fact, the putamen registers the nice emotions, such as joy or pride. The amygdale is the part responsible for the unpleasant emotions, such as fear (Fakhfakh 2010; Zurawick 2010). As stated by (Zurawicki 2010, 35), emotions "express what the world means to the individual and determine a subjective well-being." The feeling of wellness is the ultimate objective of new experiences that humans seek through buying. This feeling is deeply related to emotionality which entails the punishment/reward dichotomy (Zurawicki 2010). Reward is everything positive and to which people are attracted whereas punishment is everything people try to avoid. The avoidance of something is linked to fear. The association between the smiling pretty woman and the product implies a sense of satisfaction which is equated with the product in the consumer's mind. This feeling of satisfaction and well-being the pretty woman reveals is intended to be transferred to the consumer to elicit the same sense of satisfaction and well-being in the consumer's brain. It is called 'positive contagion' or 'contamination effect' or also 'mood transfer', according to Zurawicki (2010). The effect of such a technique is to make the customer identifies himself to the smiling satisfied person in the ad and link the reason of his satisfaction to the product.

Contrast in ads

It is the process that the brain undertakes to determine the status of the person after the purchase. It is the with/without, the win/loss dichotomy that influences the customer's decision strategy when exposed to a product and faced to a particular buying decision. Zurawicki points out that "even if people pride themselves for being rational and logical, they still cannot defuse the emotions (as in passing/failing the lie detector test)" (Zurawicki 2010, 105). It is the notion of rationality that is elicited by this stimulus as the brain weighs the winning/loss before the purchasing act or any other type of reasoning to rationalize the choice. The old brain is attracted by disruptions and reacts accordingly. Consequently, the more winning/losing contrast the ad involves, the more attractive and effective it is.

Tangible aspect of ads

The old brain cannot process abstract information, like abstract notions or complicated expressions. For example, an expression like 'more money' is more accepted than 'maximising R.O.I.' (Metznik 2012). The customer needs tangible facts about the product in order to be able to take a purchasing decision. The following ad gives a description of the product and its benefits, which aims to convince the consumer of buying it.

Deep metaphors

Metaphor, according to the Glossary of Literary Terms, is defined as "a statement [...] that says that one thing is something else but, literally, it is not". Besides, metaphoric language is used to express a new and different meaning. Deep metaphors are basic structures and images we internalize about the world around us (Zaltman and Zaltman 2008). They are unconscious and universal and they recast everything we think about or we sense or we do

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(Zaltman and Zaltman 2008). According to Zaltman and Zaltman (2008), deep metaphors are classified into seven major ones which are significant to designing an effective ad. These deep metaphors are explained in relation to human culture and mental models constructions underlying customer thinking and behaviour. The seven deep metaphors they consider universal are: balance, transformation, journey, container, connection, resource and control.

The metaphor of balance

It deals with the interplay of elements which preserves the customer's equilibrium (Zaltman and Zaltman, 2008; Rossides, 2012). This can be individually-related or contextually-related (Rossides, 2012). It encompasses the physical balance, the moral balance, the social balance, the aesthetic balance and the psychological balance (Zaltman and Zaltman, 2008). In terms of generational science classification, it may concern the boomers/silent generation (45-65).

The metaphor of transformation

The emotional meaning that taps into thoughts and feelings are related to the positive aspects of transformation (Lagace 2008). It involves significant changes of states or status and it can be physical or emotional. This deep metaphor is generally the generation x objective (25-44).

The following visual is an example of an ad which triggers transformation. The product advertised promises health amelioration for the consumer. This product is intended to offer a cure against the damages of smoking.

The metaphor of journey

The notion of past, present and future affects the customer's mind. It is related to how we define the past, present, and future which are subject to redefinition (Rossides 2012). People like to view and interpret their past and future and consider life as a journey (Zaltman and Zaltman 2008).

The metaphor of container

It is about the effect of inclusion, exclusion and other boundaries on the customer's mind. "It implies our values about social class and status, with our memories, feelings, bodies, and socio-cultural surroundings acting as containers" (Rossides 2012). Consumers find themselves in or out of physical shape or condition (Zaltman and Zaltman 2008). The following visual shows the notion of container. The product provides a means of protection of people's contacts and interests.

The metaphor of connection

It deals with feelings of belonging or exclusion. Consumers express psychological ownership when identifying themselves with a brand or a celebrity (Zaltman and Zaltman 2008). The connection between oneself and others is realized through the product. In the following visual, the notion of connection is highlighted through the use of the product (a hearing device) emphasizing its role in people's relationships.

Figure 12. an example of an ad with a metahpor of connection.

The metaphor of resource

It concerns the importance of the acquisitions and their consequences on the customer's mind, and it is related to the perception of satisfaction, well-being and physical survival. It deals with everything that supports people and makes their life comfortable (Zaltman and Zaltman 2008). In the following ad, the notion of acquisition is inspired by the product which promises satisfaction.

The metaphor of control

The metaphor of control deals with the significance of the sense of mastery, vulnerability and well-being of the customer. It triggers the notion of power embedded in the product that fulfils the customer's desire for power and control (Zaltman and Zaltman 2008; Rossides 2012). This deep metaphor will be tested in the empirical part where a questionnaire related to an ad from CB portfolio assesses some variables.

The priming processes are tools that provide the advertisers with the necessary 'colour' to make the ad look more engaging. And it is thanks to the neuroscience that advertisers can assess the effectiveness of the marketing message. Accordingly, neuroscience and priming processes complement each other in terms of their objective to better satisfy the consumer's subliminal needs.

Conclusion

In this research, there is a description of neuroscience techniques and how they function to image the human brain in the presence of marketing messages. However, the neuroscience techniques do not help with the ad designing and here come the role of priming processes and their relevance to neuromarketing: the use of the six brain stimuli and the influence of deep metaphors. The ad design responds to different criteria and is tested by the Artificial Intelligence before its release. In fact, the pre-post test administered to ads help to identify the deficiencies of the ad before its release. Thanks to the Artificial Intelligence software, the ad designer can depict the flaws of the ad before broadcasting it or make sure it is effective and can boost sales and guarantee its ROI. The neuroscience techniques and the priming processes complement each other as the ones identify the effectiveness of the ad and the others provide techniques to design the ad.

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MARKET AND MARKET MECHANISM VERSUS REFLEXION

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Abstract

The article explains the exchange of information between subjects in a society. Exchange of information is explained on the example of a logical system with one input, one output and three control variables. The parallel with the example of the logical system is used to explain how a new technology and a new product are put into practice. The role that plays the interaction between a society and its subjects when a new technology and a new product are put into practice is explained in conclusion.

Keywords: Information, control variable, interaction, reflexive process

Introduction

Every human society must confront and resolve three fundamental economic problems:

What commodities are produced and in which quantities

Who will do the production, with what resources and what production techniques they will use

For whom goods are produced

There is a lot of ways to solve these problems. Actually, a market economy is used mostly.

A market economy is an elaborate mechanism for coordinating people, activities and business through a system of prices and markets. It is a communication device for pooling the knowledge and actions of billions of diverse individuals. Without central intelligence or computation, it solves problems of production and distribution involving billions of unknown variables and relations that are far beyond the reach of even today's fastest supercomputer. Nobody designed the market, yet it functions remarkably well. The market, as well as human society, is subject to a change.

A market serves as a basis of a market economy. A market is a mechanism by which buyers and sellers interact to determine the price and the quantity of a good or service.

Main Text

Let's start by defining the terms economy and economics to avoid their confusion.

Economy is a science how the society uses rare sources to produce helpful goods and distributes them among various groups of people.

Economics is a historically given summary of production relations, the economic base of society. It is the economy of a country, including relevant sectors and types of production. Some economic sciences are called economics (industrial economics, agricultural economics).

Speaking about economy or economics means to speak about the society because both, economy and economics, forms an integral part of a society. Resulting form the above mentioned definitions, neither economy nor economics can exist without a society and vice versa.

Every society is formed by subjects and the interaction between subjects is its natural feature. The interaction is done through the exchange of information between subjects.

The exchange of information between subjects in a society is affected by:

Rules that are valid in a society (current legislation, traditions, habits, etc.)
rules that follows an individual subject (characteristics given at birth, knowledge, experience, etc.)

rules that follow surrounding subjects (family, friends, their characteristics, knowledge, experience, traditions, habits, etc.)

These rules are stored in a brain of every subject and they are applied when information is exchanged between them. When information is exchanged, one of the conditions below is always true:

rules that an individual subject follows are identical only with those that a society follows

rules that an individual subject follows are identical only with those that surrounding subjects follow

rules that an individual subject follows are identical with those that the society and surrounding subjects follow

The principle of exchange of information between subjects in a society is described on Figure 1.
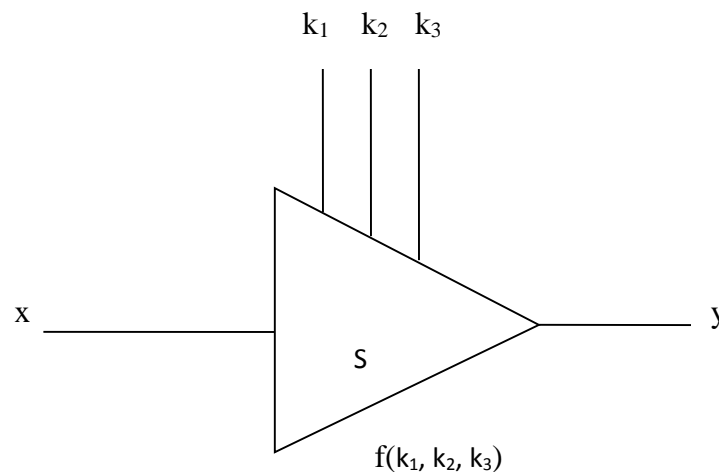
Figure. 1

The input information x of a subject S is modified by three control variables. Rules that the society follows are the first control variable k_1. Rules that an individual subject follows are the second control variable k_2. Rules that surrounding subjects follow are the third control variable k_3. Control variables k_1, k_2 and k_3 are Boolean variables in the range of values (0; 1). The output information y from a subject S is a function of control variables k_1, k_2 and k_3, i.e.

$y = f(k_1, k_2, k_3)$

As control variable k_1 and k_3 cannot be changed, the control variable k_2 of an individual subject is used to determine which of two information will be passed as output information y to the other subjects. The output information y of an individual subject is the input information x of surrounding subjects. The control variable k_2 determines whether the output information y is identical with the input information x or the output information y is negation of the input information x. In fact, the control variable k_2 is the weight coefficient of an individual subject to determine which rule is in agreement with its own rules.

The above mentioned can be expressed by logical sum and logical product:

$y = k_2(xk_1 + xk_3) = k_2(k_1 + k_3)x$ (1)

If the result of logical product $k_2(k_1 + k_3) = 1$ then $y = x$ (2)

If the result of logical product $k_2(k_1 + k_3) = 0$, then $y = \neg x$ (3)

The result of logical product $k_2(k_1 + k_3)$ is 1 when:

$(k_1 + k_3) = 1$ AND $k_2 = 1 => (k_1 = k_3 = 1)$ OR

$(k_1 = 1$ AND $k_3 = 0)$ OR

$(k_1 = 0$ AND $k_3 = 1)$

The result of logical product $k_2(k_1 + k_3)$ is 0 when:

$(k_1 + k_3) = 1$ AND $k_2 = 0 => (k_1 = k_3 = 1)$ OR

$(k_1 = 1$ AND $k_3 = 0)$ OR

$(k_1 = 0$ AND $k_3 = 1)$ OR

$(k_1 = k_3 = 0)$

Negation of the input information x represents one of the cases described below: the meaning of the input information x is changed to opposite meaning at the output from an individual subject, i.e. true information is changed to false information that is passed to other subjects and vice versa the input information x is not passed by an individual subject to other subjects, i.e. an individual subject suppresses the information

As control variables k_1, k_2 and k_3 can vary with the time, i.e. they are function of time, the same input information x that is passed to other subjects can have different meaning in different time.

Moreover, control variables k_1, k_2 and k_3 are not the only variables that vary with time. Input information x of an individual subject also vary with the time that results in changed output information y of an individual subject. This fact can be expressed by the formula:

$y = \int k_2(k_1 + k_3)x \, dt$ (4)

Let's substitute the product $k_2(k_1 + k_3)$ by a general control variable w, i.e.

$w = k_2(k_1 + k_3)$ (5)

where w is Boolean variable in the range of values (0; 1)

Time change of the same input information x can be expressed by the formula:

$y = \int xk_2(k_1 + k_3) \, dt = \int xw \, dt = xw_2 - xw_1 = x(w_2 - w_1)$ (6)

The distinction $(w_2 - w_1)$ reflects the change of control variables k_1, k_2 and k_3 in time t_1 and t_2.

The above mentioned explains the decision-making process of an individual subject and variables that control the process.

Let's apply the above mentioned to explain the way the information about a new technology circulates to subjects in a society. This example can be applied to the circulation of any information.

First of all, it is necessary to explain the way that subjects in a society are informed about a new technology. It is a natural characteristic of human brain to acquire new knowledge and make new discoveries that concern all human activities. Discovering new technologies allowing to produce new products or to improve characteristics of existing ones is included. A new technology for use in a specific human activity can be only discovered by an individual who deals with this activity and therefore has sufficient knowledge, theoretical as well as practical, in that field. If a new technology is discovered, only its author can start to circulate the information about a new technology to the others through the interaction. In this case, subjects that the author of a new technology interacts with are producers which a technology is discovered for. These producers are, from the perspective of economic theory, customers of the author.

The information about a new technology is, in accordance with Picture 1, the input information x of an individual subject S. Let's analyse the way that control variables k_1, k_2 and k_3 affect the process to put a new technology into practice. Set of rules valid in a society is the first control variable k_1. If rules valid in a society are set to refuse every forward-

looking idea, a new technology will be refused by these rules. Set of rules of an individual subject, i.e. set of rules of a producer, are the second control variable k_2. If rules of a producer are identical with those valid in a society, a producer will refuse a new technology, too. Set of rules that follows other subjects, i.e. other producers that can use a new technology, is the third control variable k_3. If this set of rule is identical with those valid in a society, a new technology will be refused by other producers, too. As control variables k_1, k_2 and k_3 are included in the decision-making process of every producer, resulting from the formula (3), a new technology will not be put into practice.

As the control variable k_1 is constant at a given time, to put a new technology into practice, it is necessary to find a producer with control variables k_2 and k_3 that are different from the control variable k_1. In other words, if rules valid in a society are not set to support forward-looking ideas, producers that support forward-looking ideas have to be found so that a new technology is put into practice. This idea is reflected in the formula (2). In other words, the formula (2) says that a producer put a new technology into practice. Putting a new technology into practice through interaction between producers results in the change of rules that are valid in a society as well as in the change of rules of producers those rules are identical with those of a society, i.e. the change of control variables k_1 and k_3.

The above mentioned explanation can be applied to the relation between producers and consumers. Either a new product or existing one with better quality is the result of putting a new technology into practice. A producer informs consumers about a new product because a producer is the only subject that have this knowledge. Until that moment, customers are not aware of a new product. Analogically, the information about a new product is, in accordance with Picture 1, the input information x of an individual subject. A consumer is a subject whose decision-making process is affected by three control variables. Rules valid in a society are the first variable k_1. Rules of a consumer are the second variable k_2 and rules of the other consumers are the third variable k_3.

If rules valid in a society are set to refuse every new technology, a new product will be refused by the rules. If rules of an individual consumer are identical with those valid in a society, an individual consumer will refuse a new product, too. If rules of other consumers are identical with those valid in a society, a new product will be refused by other consumers, too. As control variables k_1, k_2 and k_3 are included in the decision-making process of every consumer, resulting from the formula (3), consumers will not buy a new product.

Similarly, the control variable k_1 is constant at a given time, in order to start to sell a new product, it is necessary to find a consumer with control variables k_2 and k_3 that are different from the control variable k_1. In other words, if rules valid in a society are not set to support forward-looking ideas, consumers that support forward-looking ideas have to be found so that a new product can be started to sell. This idea is reflected in the formula (2). In other words, the formula (2) says that a consumer buy a new product. Buying and using a new product results, through interaction between consumers, in the change of rules that are valid in a society as well as in the change of rules of consumers those rules are identical with rules that follows a society, i.e. the change of control variables k_1 and k_3.

In traditional philosophical and psychological understanding, reflexion is defined as a capability to take the position of observer, researcher or inspector in relation to his body, acts and ideas. This definition of reflexion was later completed with a capability to take the position of researcher in relation to other person, his acts and ideas. The completed understanding of reflexion gives a possibility to construct whole object of research and to reveal reflexive processes as independent phenomena determining specific features of objects-researchers mutual relations.

If this completed definition of reflexion is applied on a society and its subject, i.e. producers and consumers in that case, we can find that:

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a society takes the position of researcher in relation to every producer and every consumer, his acts and ideas

a producer takes a position of a researcher in relation to a society and other producers, their acts and ideas

a consumer takes a position of a researcher in relation to a society and other consumers, their acts and ideas

Specific features of the relation between a society, producers and consumers are represented by rules that follow a society, producers and consumers. Rules of society, producers and consumers do not have to be identical despite the fact that they all try to set up their individual rules and to use them so that the rules of every of them are accepted by the others. This leads to the continuous change of rules that follow a society, producers and consumers and that result in replacing old technologies and products by new ones. The change of rules represents reflexive process that is independent of the will of a society, producers and consumers. Reflexive process is a natural result of acquiring new knowledge that gives a possibility to discover new technologies, new products, explain unknown phenomena, etc. In fact, it is reflexive process that regulates a society, producers and consumers, their acts and ideas.

Conclusion

I came to the conclusion that economic theory is wrong when insisting that market, market mechanism and market economy exist. I can say that economic system does not exist, it is only socioeconomic system that exists because economy is the integral part of a society and cannot exist without a society and vice versa.

Only reflexive process and the interaction between a society, producers and customers exist. Reflexive process that determines specific features of this interaction as well as what production techniques are used, what commodities are produced and in which quantities. Reflexive process uses the interaction among a society, producers and consumers to acquire information to regulate a society, producers and consumers. However, reflexive process can be effective only if acquired information is correct. If acquired information is incorrect, reflexive process is not effective.

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CHANGE AND CONTINUITY IN A POLITICAL-ECONOMIC CONTEXT IN TURKEY: THE RISE OF ECONOMIC POWER OF RELIGIOUS SEGMENTS

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Abstarct

In recent years, much of the discussion about the Turkey has focused on the increasing role of Islam in politics and economics. In contemporary Turkey, previously rejected values have begun to be absorbed by different segments of the society. For example, the variance between Western concepts such as liberalism and modernity and their interpretation by Islamists has resulted in a search for such values in Islam and in the struggle to prove the compatibility of Islam and democracy. With the result of that Islamic values and ethics and modernity are no longer viewed as ideologically incompatible. This new paradigm that accepts liberalism and modernity as being compatible with Islam has been observed in different Islamist groups, in varying degrees. This paper will focus on one of the chief actors which played crucial roles in the above mentioned socio-economic transformation in Turkey, namely: the economic organization MÜSİAD (Independent Industrialists' and Businessmen's Association). The purpose of this study here is to elaborate on the degree of change in their discourse. Actually, this paper points out that the integration of pious Muslim businessmen in modern global market now tends to be self-referring, instead of it being defined as opposed to traditionalism.

Keywords: Political Economy in Turkey, between Islam and Westernization, Islamic capital in Turkey, MÜSİAD.

Introduction

Up until the last two decades, religiously conservative people had accepted that they carried a lower status in Turkish society, since most were poor and uneducated. They have remained as "others" in the eyes of the secular groups and never could participate in or have access to the privileges of central management. However, by the end of the 1990s, a new class of entrepreneurs who sought guidance from Islamic principles while believing in democracy and a free market had become the dominant actors in political, social and economic domains. These new religiously conservative elite are challenging the existing order in two different but naturally linked ways: economically and culturally. These pious economic elite provide the financial power needed to build the confidence of traditional and religious groups. They have begun to enjoy being active and influential actors in the economic, even the political life, in Turkey. The changing social status of these new economic actors has upset the balance of power that was in favor of the existing secular elite and powers who had traditionally excluded the conservative religious masses of Anatolia from the structures of power. These significant developments have continued with the establishment of a new business interest group Müstakil Sanayici ve İşadamları Derneği [Independent Industrialists and Businessmen's Association] (MÜSİAD). The emergence of MÜSİAD is a significant example which represents the power of new religious economic group in a society which had been overwhelmingly subject to the secularizing project of the republic since 1920's. The role and impact of MÜSİAD on the changing socioeconomic status in Turkey will be analyzed throughout the rest of the paper.

Main Text

In 1990, the Islamic businesses came together under the umbrella of a new association, a conservative Muslim businessmen's association. MÜSİAD brought together a large group of enterprises that manifested a great diversity in size and geographic location. The more urban, Westernized business elite were represented by TÜSİAD Türk Sanayici ve İşadamları Derneği (The Turkish Businessmen's and Industrialists' Association), founded in 1971, whose membership included the chief executives of Turkey's 300 biggest corporations (Buğra, , International Journal of Middle East Studies, 1998). The Islamic corporations and most of the Small and Medium Entrepreneurs in Anatolian cities under the umbrella of MÜSİAD were now seen as a challenge to the established business elite. The first letter of its acronym, "M" is in fact commonly assumed to stand for "Muslim" rather than for müstakil (independent). The founders of MÜSİAD have sympathy for an "Islamic economic system" in theory, although in practical terms they are aware that it is hard to escape participating in the capitalist market economy without submitting to all its established rules and requirements (Eken, 1995).

As can be seen from Table 1, there is no limit to the sectors in which Islamic entrepreneurs are active; small and medium sized companies are involved in every area of the economy, especially in manufacturing, textiles, chemical and metallurgical products, automotive parts, building materials, iron and steel, and food products. MÜSİAD quickly organized in İstanbul and the Anatolian provinces, registering more than 3100 members.

Table 1: Sectors where MÜSİAD's members are most active

Distribution of Sectors	Number of Companies (data for 2009)
Publishing and advertising	2,108
Information Technology	713
Furniture	3,237
Energy and Environment	1,341
Food and Agriculture	3,470
Services	1,388
Construction and Building Tools	5,438
Chemicals, Metals and Mining	2,042
Logistics	278
Machinery	1,650
Automotive	722
Health	544
Textile and Leather	3,905

Source: www.musiad.org.tr

These SMEs have become a significant power in the Turkish economy. In 2009 alone, member companies signed contracts with foreign companies worth over two billion dollars. In recent years, SMEs have also established a presence in foreign countries through investments, especially in Europe, Africa, and the Middle East (For more information on MÜSİAD activities, see www.musiad.org.tr)

Owners of Islamic companies aim to build a contemporary Islamic framework for economic life both at the individual and the organizational levels. At the organizational level this framework acts as an umbrella organization to help its members in the social, personal and economic spheres. This is evident from MÜSİAD's declarations in general and from its emphasis on shaping the Muslim businessman into 'homo islamicus,' in particular as defined by Erol Yarar, the previous president of MÜSİAD. For him, the "Homo Islamicus" is a person who has internalized Islamic values and is the basis for creating our contemporary Islamic paradigm and for realizing a society that functions according to this paradigm" (Özbudun & Keyman, 2002). This definition points to the aim of MÜSİAD, which is, building a new development model without sacrificing social identity. According to this model, capital maximization is strongly encouraged; however, it cannot be dissociated from ethical

constraints. It reminds us that Max Weber ascribed the rise of capitalism to Protestant ethics, through the moral rigor of believers and their personal work achievements. Today, Islamic businessmen are forced to work hard and consolidate a dearly gained social status.

The establishment of MÜSİAD, an organization representing the new wealthy class of the 1990s, was largely ignored by the İstanbul-based business class since it represented not only a new economic power but also because it was suspected of having an Islamist agenda. The small and medium size entrepreneurs in Anatolia, who had been looked down upon by the İstanbul-based secular business elites, now gained confidence with their newly acquired economic and political power. They have also demanded recognition of their religious and conservative ways of life. Furthermore, in time, the question of "what are 'these people' doing at our economic level" was replaced with questions such as: What are they like? Where do they come from? What do they eat or wear? Where do they go? Thus, although the existence and power of the new conservative business class was accepted, but still, the İstanbul-based secular bourgeoisie were uncomfortable with this transformation in the dynamics of wealth and power.   Many of the Anatolian businessmen that who had interviewed agreed that the İstanbul-based elites misunderstand the identity and ideology of the Anatolian business class, and their strong reaction and resistance to the religiously conservative economic elite has created hostility between the two groups. In fact, religious Muslim businessmen believe that the rising new pious economic elite represent the real Turkish bourgeoisie, because the elitist İstanbul-based bourgeoisie's culture is not rooted in the Turkish culture and religion. Many of the members of MÜSİAD emphasized that, in contrast to the state-centered old bourgeoisie, the new pious economic elite had grown up in a 'natural way'. Islamic groups and the conservative wing of society concur that TÜSİAD (Buğra, International Journal of Middle East Studies, 1998; ,Öniş & Türem, Turkish Studies, Autumn 2001)[31]- representing the traditional business elite - while founded by Turkish businessmen, has as its reference Western culture and its values (Kaplan, 2006). They also argue that in terms of cultural and financial capital, MÜSİAD is definitely not an organ of global/central powers (Kaplan, 2006). At the same time, government policy expectations of these two associations are different; TÜSİAD mainly focuses on politics of the European Union (EU) and the economic reforms of the IMF. The members of TÜSİAD want to ensure that EU accession stays on track and stability prevails in the economic and political realms, since many Turkish firms today rely on the European market. For example Koç Group's Beko, is now the best-selling appliance producer in Europe, while the stream of recent banking and industrial mergers and acquisitions have only served to reinforce the belief held by the mature capitalists of Turkey that there is a need for greater integration with Europe (Neylan, 2009). As Can Paker, a TÜSİAD member, observed in a recent interview: "Ensuring that the hundreds of billions of dollars of trade with the EU continues to flow is the driving motivation of TÜSİAD. Anything that deters this process will be resisted" (Neylan, 2009). TÜSİAD has also supported the agreement with the IMF and has insisted that this agreement is good for the Turkish economy, whereas MÜSİAD has warned the government that such a policy would be dangerous for Turkish markets.

MÜSİAD's Chairman Ömer Cihat Vardan has reiterated concerns over a possible stand-by deal with the International Monetary Fund (IMF). Vardan said that Turkey had

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[31] The Turkish Industrialists' and Businessmen's Association TÜSİAD is the top business association of Turkey. Founded in 1971, is an independent, non-governmental organization dedicated to promoting public welfare through private enterprise. Big business in Turkey primarily located in İstanbul and the Marmara region and represented under the umbrella of TÜSİAD has typically enjoyed a tense relationship with political parties or governments with Islamist roots or orientation. The position of TÜSİAD in protecting the secular principles of the Republic has been rather close to the position of the established state elites. For systematic comparisons of these two key business associations see (Buğra, 1998) and Öniş & Türem, (*Turkish Studies,* Autumn 2001).

managed, to an extent, to keep problems at bay amidst global financial turmoil without accepting financial support from abroad and that the country had the potential to continue on this path. The MÜSİAD chairman repeated:

It has clearly been seen how irrational and deceptive gloomy scenarios presented by international credit rating agencies were when they said the Turkish economy would fall into a disastrous situation if it fails to sign a deal with the IMF. We must keep in mind that Turkey has been governed without an IMF anchor since May 2008 and managed to stay afloat without IMF help.(Hava, Todays Zaman January 5, 2010)

Vardan's remarks came in the wake of recent statements from the government that a deal would soon be signed with the Fund "as the global lender has agreed to Ankara's conditions" (Hava, Todays Zaman January 5, 2010). Vardan argued, underlining that different international rating agencies and organizations, including the IMF, also agreed that:

Turkey was one of 13 countries whose international credit ratings were revised upwards during the 2009 crisis. In addition to such an encouraging fact, Turkey was also the only economy to see a double-digit increase in its rating the same year. We do not say that our economy has been completely exempt from the crisis' impacts; however, we believe the country could still survive without IMF support. (Hava, Todays Zaman January 5, 2010)

A possible IMF deal could bring fresh cash to the markets; however, this would have some side effects, as MÜSİAD's had noted. "A swift money inflow could lead to a decline in foreign exchange rates, which would strike a major blow to the competitive power of exporting companies" (Hava, 2010). According to the association head, the government should not rush into a stand-by deal before they calculate the potential drawbacks that it could create. With regard to expectations in 2010, Vardan said that they anticipated a "more than 4 percent" growth in the Turkish economy, and that this mainly depends on maintaining political stability and peace in the country (Hava, 2010).

In contrast to this view, TÜSİAD claims that money given by the IMF would provide greater investment for the private sector. Nevertheless, between 2000 and 2008, when Turkey received money from the IMF, the percentage of total investment to national income was 21%, whereas between 1984 and 1991 Turkey did not use money from IMF and the percentage of total investment to national income increased to 24% without IMF's financial support (Hava, Todays Zaman January 5, 2010).

Thus, the difference between these two groups becomes clear: TÜSİAD previously earned money and acquired wealth from Ankara's decisions, such as loans, credits, high tax walls, and debts to the IMF, whereas MÜSİAD stood largely independent from the Ankara government and does not want IMF debt. Real tension in economic decision-making comes from the competition between these two groups.

The Turkish government finally decided to continue its economic reform program without IMF lending. The president of MÜSİAD, Vardan, said that his group was very happy about this decision because Turkey had a strong economy and showed the capability to continue without IMF assistance. He also added that, "in the last 22 months the Turkish economy has been performing without IMF and important economic organizations have increased Turkey's credit rating but an agreement with the IMF could be lead to Turkey's losing prestige" (ANKA, October 03, 2010).

However, MÜSİAD is still far from enjoying the economic clout of TÜSİAD. The membership is higher in MÜSİAD but the capital power is still in the hands of TÜSİAD. TÜSİAD has 600 members who represent 2500 companies (Altan, TÜSİAD-MÜSİAD buluşması"Sabah, May 14, 2010). However, they also represent 65% of the country's entire industrial production, 50% of the total employment, (except for energy) and 80% of the export trade. TÜSİAD's members also provide 85% of the corporate institutional tax (Altan, "TÜSİAD-MÜSİAD buluşması" Sabah, May 14, 2010). TÜSİAD claims that its members

aim to improve the competitiveness of the Turkish economy in global markets and increase social prosperity. They work for increasing employment, security, modernization capacity and education. They also aspire to international integration, and regional and domestic economic development.

MÜSİAD represents 25000 companies employing 750,000 personnel and their contribution to exports is around 10 billion (MÜSİAD web page fro detailed information. The members of MÜSİAD seek to encourage investment capacity and power in Anatolia and want to be the industrial power of Turkey. Whereas TÜSİAD has enormous economic power, MÜSİAD has major social support, and one can claim that economic and social power is represented by different sides. Nevertheless, the İstanbul-based elite cannot represent Turkish economic interests exclusively. On May 13, 2010, when MÜSİAD sent a delegation to TÜSİAD (Bulaç, Zaman, May, 17, 2010),[32] Ali Bulaç explained the move as: "MÜSİAD has first begun to imitate TÜSİAD in terms of form and then in norms" (Bulaç, Zaman, May, 17, 2010). One can see this as a positive development, especially if they give up their mutual hostility and establish common economic policies. According to Bulaç, while TÜSİAD has represented wealth, injustice, and power, MÜSİAD has represented anger and the aggrieved outsiders. However, in the last two decades, the role of MÜSİAD has changed in dramatic ways. First, both organizations now share the same kind of approach to economics. He says that both organizations aim at growing in a free market economy under minimum state interference. Bulaç also claims that both organizations want to satisfy "the unlimited needs of human being." Indeed, the Islamic economic aim of maintaining "the middle path, moderation and balance," is reflected the ideology of MÜSİAD (Bulaç, Zaman, May 13, 2010).[33] Along with other religious investors in Islamic corporations and the rich members of the brotherhoods and sufi holdings, MÜSİAD today represents a new bourgeoisie. Some Turkish alarmists however see this new religiously conservative economic elite as inimical to Atatürk's vision of a secular and Westernized Turkish Republic, because Anatolian businesses have challenged Republican cultural hegemony to gain further social and political power and they present are alternate religious world-view. It is even commonly believed by secularists that Islamic entrepreneurs emerged as a facet of the Islamization of Turkish society (Rubin, Middle East Quarterly, Winter 2005).[34] It is of course true that MÜSİAD began to play a larger role in the economy for its members when the Islamist Welfare Party (WP) became more powerful on the political scene. After the electoral victories of the Welfare Party in 1995, MÜSİAD has become more visible and influential (Buğra, 1998). Thus, Islam has started to play an effective role in everyday life, while the conflict between the Islamist and secularist camps has become commonplace. It seems that the traditional business class of the Kemalist state now faces challenges from a religiously inspired business class, equipped which economic power, social influence, financial clout, media support and political

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[32] Two organizations have an agreement on these issues in the meeting: The economic policy which will follow during and after economic crisis. Building cooperation between TÜSİAD and MÜSİAD. In order to help development of Turkish economy, supporting of improvement of small and medium entrepreneurs, working on joint project.

[33] This aim of MÜSİAD clearly underscores balance as the ultimate goal. Actually, the Turkish word for economics is "iktisat," which is borrowed from the Arabic word "iqtisad," meaning "median, the middle way or equilibrium." It is not without reason that Imam al-Ghazali's famous book in which he expounds the tenets of the Ahl al-Sunnah creed is titled "al-Iqtisad fil-i'tiqad" (the Median in Belief). Here, Ghazali uses the term "iqtisad" to mean "the middle path, moderation and balance." Ali Bulaç, "TÜSİAD ile MÜSİAD'ın izdivacı." Zaman May, 13, 2010)

[34] On November 9, 2004, Deniz Baykal, leader of the parliamentary opposition Republican People's Party, accused the AKP of trying to create a religious-based economy. Turkish Daily News, (Nov. 10, 2004). As an executive with one of İstanbul's largest firms said, "If the AKP is able to translate money into power and power into money, then the main loser will be Turkish secularism." (M. Rubin, Middle East Quarterly Winter 2005):; http://www.meforum.org/684/green-money-islamist-politics-in-Turkey.

representation. However, the new pious economic elite are far from demonstrating any radical tendencies and strive for a peaceful world. Religiously conservative businessmen are not interested in radicalism, because they are aware that in order to sell their products in Europe or the United States the image of their country and the image of their companies is important. As the number of pious entrepreneurs in Turkey increases, the indication is that their rising economic success cannot be construed to depend only on the integration of religious values into economic life; other factors include the enlightenment of religious businessmen. Islam is simply a way of life for them.

Conclusion

Religiously conservative business group have begun to shape a new Muslim identity with economic power, self-confidence, advanced education, a consumer lifestyle and a new social awareness while at the same time preserving and remaining proud of their Islamic ideals. In the vision and attitude of MÜSİAD, it is impossible to see the kind of hard-edged fundamentalism, and even less so an echo of extremism, that has inspired radicalism in Pakistan and parts of the Arab world. Islam here may be conservative, but it has a pro-European, pro-democratic and above all pro-capitalist character. The modern approach of MÜSİAD can even be seen in the rise of religious Puritanism, they have integrated religious ethics with business. They justify their emphasis on work, success in economic life and the acquisition of wealth by attaching both a religious meaning to it and proposing that it provides access to a legitimate worldly modern life. Then, since the 1990s, religiously conservative groups have had the chance to integrate themselves into the Turkish and world markets while carrying their identity into the formation of new economic elite. Religiously inclined businessmen and MÜSİAD members have been sharing the economic and political power with the secularist elite in contemporary Turkey and their integration in Turkish and international market is the key to bringing about modernization and liberalization of religious segments but not fundamentalism.

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EFFECT OF MOTIVATIONAL FACTORS ON DECISION OF SECONDARY SCHOOL TEACHERS TO OPT TEACHING AS A PROFESSION

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Abstract

The present study intends to explore the effect of most significant factors on secondary school teachers to choose teaching as ultimate profession. Sample of the study comprises of 288 secondary school teachers from Govt Secondary girls schools of Pakistan. The results showed the difference of teachers perceptions regarding age, education, qualification, annual income and experience. The findings explored only difference of opinion towards experience regarding teachers desires of becoming teacher . The most influential factor that opted by the teachers was salary. The participants showed little satisfaction towards country pay scales and salary packages.

Keywords: Pakistan, Secondary school teachers, Scale, intrinsic, extrinsic

Introduction

It is worldwide consensus that education is the fundamental tool to bring revolution in all spheres of life. Nobody can ignore the crucial role of teachers they play to change the attitudes of the society to make it a highly valued society in the world. No education system can flourish without good teachers and good teachers can be attracted towards teaching through motivation. Motivation is of two types intrinsic and extrinsic Darling (1999, p.45). The study attempts to find out most effective factors in attracting teachers towards teaching.

By considering the importance of teachers many action plans and attractive packages were introduced in Europe, Australia and Asia to motivate teachers in teaching. Darling (1999, p.45) argued that poor salary scales , lack of save environment, inadequate resources and inflexible environment demotivate teachers all over the world. On the other hand competitive salary, conducive institutional environment, social respect, high status play as most motivating factors to encourage teachers for teaching profession. Book and Freeman (1992, p.27) also considered some other important reasons to choose teaching like intrinsic, extrinsic and altruistic motivation. All these three types of motivation sometimes overlap in defining features , it depends on the nature of question for what any type is used. For example the intention in working with students has come the umbrellas of intrinsic and sometimes under the bridge of altruistic form in various studies (Battle 1965, p.209). Book and Freeman (1985, p.27) identified most significant motivational reasons in entering teaching are job security, job benefits, suitability with family commitments, social participation and love to with students.

Literature Review

Many researches in teaching and learning area based their assumptions and findings on ability related perceptions as most motivating factors for teachers attraction towards teaching. The present study incorporated previous literature in making clarity of ideas in exploring and evaluating the influence of factors to retain teachers in teaching.

Frasco (1997, p.429) stated that intrinsic motivation works as power supply for teachers in making choices for teaching as a profession but there are number of other factors that destroy the instinct and extent of intrinsic power , for example burnout is one of the major factor that hits the passion of teachers in joining this profession.

Fraser and Taylor (1998 ,p. 61) give reasons for this burnout hazard, they argued that teaching is considered most stressful profession among all other profession because the demand and supply requirement is hectic. Furthermore , three factors are known crucial in predicting burnout, one is emotional intensity due to physical and emotional over expectations. When a person is trying to fix all matters in a short and limited time then this factor comes as the most important reason of that issue. The next factor is depersonalization, which results from being most critical towards him/herself and other practitioners. The reason is the failure in personal goals achievements, because teachers are dissatisfied with their present status, social wellbeing with society respect , job security issues and personal recognition . Evans (1998, p.417).

Deci and Ryan (2001, p.930) explored the role of Self-determination theory in mentioning three psychological reasons to be satisfied for personal high self esteem, competence, autonomy and relatedness. Dissatisfaction of these most fundamental needs detract humans from their tracks. This theory also discussed the negative factors that discourage individuals in making choices towards any profession.

Atkinson (1957, p. 359) explained that intrinsic and altruistic institutional goals and some other intrinsic factors are considered the basic reasons for teachers to join teaching. He mentioned some influential factors that affect the choices of teachers in choosing teaching profession are job security, social respect, safety, competitive environment, high status profession. Leisure time . enjoyment with family and other factors.

Battle(1965, p.209) argued that subjective intentions play a pivotal role in making career choices for teachers. Teachers select teaching only under personal commitments ,like personal achievements, suitability with family commitments, enhance quality of life and social respect and status by increasing salary and other fringe benefits. Many teachers leave the profession because of failure in personal attainments and due to heavy workload and low incentives.

Braimoh and Moletsane (1998, p.49) stated that the intentions of those people who never showed their interest for joining teaching clear the picture that how negative factors drag back individuals for joining an institution.

Maslow (1943, p.370) theory discussed the factors that enhance workplace motivation. He argued that if employees are provided ample sources to afford their basic essentials, satisfy their personal, social and emotional needs, having enough holidays to spend time with their families they will be more attracted towards teaching for long time. Moreover, if their safety needs that include job security, social needs comprise feeling of belonging and acceptance among community fellows, Esteem needs incorporate the appreciation of employees , sense of being valued and appreciated, Self actualization comprises of the satisfaction of employees challenging work tasks which generate creativity, innovation and critical thinking skills

Nature of the Study

The study was a descriptive type of research in nature. A survey was conducted using a questionnaire. Inferential statistics were employed to determine the current status of population with respect to variables.

Population

There are two main strata in Punjab urban and rural. All public schools at secondary level are single sex. Therefore all female secondary school teachers of Punjab were the

population of the study. Accessible population was two eighty eight Government secondary school teachers of 72 Government secondary schools.

Sampling

Of the total population of female secondary school teachers 25% sample was drawn for the purpose of the study. 72 schools of Punjab (24 urban and 48 rural) were selected for the purpose of this survey. The researcher randomly selected 9 districts from 36 districts of Punjab and then randomly selected 9 tehsils from sampled districts. Eight schools from each tehsil were selected with uniform distribution of both urban and rural strata. Six urban female schools, two rural female schools were selected. Four teachers from each school were randomly sampled for this study; it constituted a sample of 288 teachers .

<center>Sample</center>

No. of Distt 25% of 36 distt by zones		No. of Distt taken	No of Tehsils			No of schools		No. of teachers		
			Total	U	R	U	R	U	R	
Central zone	19	5	5	1	4	8	32	32	128	
Southern zone	12	3	3	1	2	8	16	32	64	
Northern zones	5	1	1	1		8		32		
Total	36	9	9	3	6	24	48	96	192	288

There were total 36 districts in Punjab. Population of Punjab is divided in to two strata rural and urban .Multistage sampling was used to draw the sample..The researcher randomly selected 9 districts from which constitutes 25% of districts of Punjab.

Central zone comprised of 19 districts (Lahore, Kasur, Gujranwala, Gujrat, Faisalabad, Sheikhupura, TobaTekSingh, Okara, M.Bahawaldin, Sialkot, Pakpatan, Narowal,Bhakar,Lodhran, Nankana sahib, Jehlam, Sargodha, Jhang, Hafizabad). The researcher randomly selected 5 districts (Lahore, Gujranwala, Gujrat, Sheikhupura, M.Bahawaldin) from central zone.

Southern zone comprised of 12 districts (D.G Khan, Bahawalpur, Rajanpur, Bahawalnagar, R.y Khan, Muzafargar, Multan. Sahiwal, Vehari, Khaniwal, Layya, .The researcher randomly selected 3 districts (Multan, Bahawalpur, R.y Khan) from southern zone.

Northern zone consisted of 5 districts (Jehlam, Rawalpindi, Attock, Chakwal, Khusab,).The researcher randomly selected 1 district (Rawalpindi,) from northern zone The researcher randomly selected 9 tehsils from sampled districts. 8 schools from each tehsil were selected with uniform distribution of both urban and rural strata. 6 urban female schools, 2 rural female schools were selected. 4 teachers from each school was randomly sampled for this study; it constituted a sample of 288 teachers .

Rationale

Teaching profession is considered the backbone of any country's progress and prosperity. Trained and professionally experienced teachers make the society presentable in the whole world. The study aimed to know what factors influence teachers in opting teaching as a profession. It also explored some effects of demotivating factors on choice of teachers in selecting teaching. The study fits in the references of previous researches to find the difference of effect of different factors in different contexts. The findings provided robust measures about the influence of factors. It will help policy makers and curriculum developers to consider these factors while making any new policy to attract more qualified and competitive workforce in teaching.

Hypotheses

Teachers have no difference of opinions regarding annual income in opting teaching as a profession

Teachers have no difference of opinions regarding age in opting teaching as a profession

Teachers have no difference of opinions regarding qualification in opting teaching as a profession

Teachers have no difference of opinions regarding experience in opting teaching as a profession

Research Instrument

For the purpose of data collection of this study an instrument of data collection, comprising of questionnaire was devised on a 5 point Likert scale. The first part of instrument contained demographic information regarding age, marital status, annual income, experience and qualification of teachers, the second part was based on 5 point Rating scale (strongly agree, agree, neutral, strongly disagree, disagree,).Items were developed to measure the influence of different factors on teachers intentions for selecting a profession. A pilot study on small scale was conducted before the administration of actual study. Through pilot testing necessary revisions were made in the questionnaire. Secondly through the statistical tests the numeric description of chi square and t test enabled the researcher to put the confidence in the results up to 95%. Through the pilot study and opinion of 6 expert 4 from University of Education and 2 from the University of Punjab all items were believed to be valid in construct, content and criteria . For estimating internal consistency "based on determination of how all items on a test related to all other items and to the total test" . The reliability coefficient was Cronbach's Alpha for FITCS 0.913 that showed the high response rate of the participants.

Data Collection Procedure

After piloting phase, the survey on large scale was planned. Questionnaire were mailed to all sampled teachers (school teachers) . In order to keep track of the return of questionnaires, Principles were contacted and requested for their professional help in this research. Some colleges responded immediately but few responded later because of their official assignments. However, the researcher, continued requesting the principals through follow up telephonic calls, and as a result, was successful in getting completed questionnaires from respondents. The data collection activity took four months.

Data analysis

The data achieved through different sources was analyzed through ANOVA and Principal component analysis method for hypothesis testing ,factors ascertain and to find out their effects on teachers decisions to opt teaching. Demographic information regarding age, work-experience, annual income, Professional qualifications and close ended questions.

Analysis of FIT questionnaire with Demographics

The " FIT questionnaire was administered to SST of different age groups. ANOVA is applied to see the difference in choice of different age groups.

Effect of age on teaching as a career choice

H1 Teachers have no difference of opinions regarding age in opting teaching as a profession

Table 4
Summary of ANOVA between different age groups.

	Sum of squares	df	Mean	F	Sig.
Between Groups	1457.72	3	485.907	1.109	.346
Within Groups	124442.109	284	438.176		
Total	125899.830	287			

The summary of results showed that F value is insignificant hence null hypothesis is stating:

Teachers have no difference of opinions regarding annual income in opting teaching as a profession was accepted. Therefore it can be concluded that there is no difference of choice of teaching profession among different age groups of female secondary school teachers.

Effect of qualification on teaching as a career choice

H2   Teachers have no difference of opinions regarding qualification in opting teaching as a profession

Table 5
Summary of univarate analysis of ANOVA for career choice of teachers with different qualification

	Sum of Squares	Df	Mean Square	F	Sig.
Between Groups	280.513	2	140.256	.318	.728
Within Groups	125619.317	285	440.770		
Total	125899.830	287			

The summary of results showed that F value is insignificant hence null hypothesis is stating hence null hypothesis is stating,

Teachers have no difference of opinions regarding qualification in opting teaching as a profession was accepted. Therefore it can be concluded that there is no difference of choice of teaching profession among different qualification of female secondary school teachers.

Effect of annual income on teaching as a career choice

H3   Teachers have no difference of opinions regarding annual income in opting teaching as a profession

Table 6
Summary of univarate analysis of ANOVA for career choice of teachers with different annual income groups.

	Sum of Squares	Df	Mean Square	F	Sig.
Between Groups	142.037	74	1.919	1.042	.404
Within Groups	370.321	201	1.842		
Total	512.359	275			

The summary of results showed that F value is insignificant hence null hypothesis is stating hence null hypothesis is stating:

Teachers have no difference of opinions regarding annual income in opting teaching as a profession was accepted. Therefore it can be concluded that there is no difference of choice of teaching profession among different annual income groups of female secondary school teachers.

Effect of experience on teaching as a career choice

H4   Teachers have no difference of opinions regarding experience in opting teaching as a profession

Table 7

Summary of univarate analysis of ANOVA for career choice of teachers with different experience.

	Sum of Squares	Df	Mean Square	F	Sig.
Between Groups	3875.976	3	1291.992	3.007	.031
Within Groups	122023.854	284	429.661		
Total	125899.830	287			

The summary of results showed that F value is significant hence null hypothesis is stating hence null hypothesis is stating:

Teachers have no difference of opinions regarding annual income in opting teaching as a profession was rejected. Therefore it can be concluded that there is at least one group of teaches which has significant different opinion from others.

Table 8

Summary of Post hoc analysis of ANOVA for career choice of teachers with different experience.

(I) experience	(J) experience	Mean	Mean Difference (I-J)	Sig.
31-40	1-10	(262.6190)	16.99634*	.021
	11-20	(262.4384)	17.17703*	.005
	21-30	(265.8981)	13.71724*	.025

Summary of post hoc test on teacher opinion about experience reveals that p value was highly significant at 0.05 level of significance. Therefore it can be concluded that there is one group of teaches with 31-40 years of experience has significant difference of opinion with 1-10, 11-20 and 21-30 years experience groups.

Findings

Following findings emerged from the analysis of data:

The present study explored teachers intentions regarding selection of profession in terms of age , annual income, qualification and experience and findings proved that there is no difference of teachers perceptions among age, qualification, annual income but difference observed in only experience related opinions among teachers , so the null hypothesis is rejected   because there is significant difference among teachers with respect to their experience. The respondents with 21-30 years experience and people with 31-40 years experience have significant difference of opinion regarding career choice. Variance of inspiration was 74.476 % , showed that it was most useful factor that got most of the response rate and highest motivating factor that people rated it with high aspiration . The variance of job security was 75.704 % showed that people joined teaching mostly because of this reason. The variance of ability factor was 74.696 % , society influence was 73.335 %, work with children was 68.518, society service was 66.116 %, challenge was 60,594 % , competence was 65.220 %, indicating highest satisfaction of people with their choice of teaching. Variance of other factors that were autonomy 34.765 % , respect 53.546 %, time for family 52.184 %, intrinsic career value 39.529 %, working conditions 38.184 %and salary 49.335% showed relatively low motivation for teaching as a career choice.

Conclusion

The researcher concluded that teachers of secondary schools of Pakistan showed no difference of opinion in demographic variables like age, qualification , annual income in

making choice for the selection of teaching profession. Only one group of respondents with 21-30 years experience and 31-40 years experience have significant difference of opinion regarding career choice. Inspiration was considered most influencing factor with highest mean score.

Discussion

The study intended to explore different influential factors in attracting or distracting teachers towards teaching profession. For this purpose a questionnaire was administered to get understanding of their choices . Teachers showed their responses towards different factors differently.

The present study incorporated previous researches findings of motivational factors and also found that some factors are influential in our culture and some are not considered important as much as in other contexts. In Watt (1998) study that conducted in Australia on University teachers showed that social respect , intention to work with children, job security were considered most influential in attracting teacher and salary factor was not considered most important factor but in our Pakistani society these factors are not considered most significant in retaining teachers because of poor infrastructure of education system and lack of resources . Moreover, salary was also rated below the average that means teachers in our country are dissatisfied with their salaries, social status, working environment, job security, job satisfaction, personal incentives etc.

In Pakistani context Govt Secondary teachers do not earn more respect and value. Majority of people want to become doctors , engineers, lawyers instead of becoming teachers because of inadequate facilities and insufficient incentives. Teachers are not satisfied by Govt policies in terms of teaching service structure. Government policies do not attract people to opt teaching as a career. In the light of these findings we can infer the importance of different factors and can give message to teaching and learning departments to review their education policies in attracting and retaining teachers in teaching profession as it works like a backbone of the country's prosperity.

In the current era Pakistan is facing problems in attracting, recruiting and retaining teachers in teaching. It is the need of the time to consider these influential factors to motivate teachers and to improve the service structure of teachers to stop the brain drain effects. Mostly teachers who got scholarship abroad for advance education do not want to come back because of job insecurity , low social status and poor salary packages.

Recommendations

On the basis of major findings and conclusions, following recommendations are made:

The study provides a guidelines for policymakers to improve their educational infrastructure . Working conditions in schools, colleges and Universities should be improved to attract and retain more competent people towards teaching. Salary and social status of teachers should be improved to motivate most of the population. Government should provide more facilities and fringe benefits to teachers. Pensions and more house rent should be included in teacher's salary package to enhance their job security. Although the scope of the present study can not be generalized due to its limited scope. It is, therefore, recommended that further research with a wider scope using both qualitative and quantitative paradigm be carried out. There is need to examine the root cause of lowest perception of teachers for teaching as a career choice and to enhance teacher's motivation level by providing better opportunities. Salary and social status factors were rated lowest by teachers so it is recommended to increase merit based attractive salary packages to attract more qualified teachers.

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COMPARISON OF LONG-TERM ASSETS RECORD-KEEPING IN COMPLIANCE WITH THE LEGISLATIONS OF THE EU AND SLOVAKIA

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Abstract

The need to own assets, whether in the form of long-term tangible or intangible assets, conditions a successful operation of an accounting entity in some cases. The objective of the article is to compare the asset structure defined for public sector accounting entities to the asset structure binding for business entities in compliance with the legislation valid in SR. Further objective of the article is to compare the legislation valid in SR in terms of long-term assets to the legislation defined under IAS/IFRS International Accounting Standards (applicable for businesses) and IPSAS (applicable for public sector entities). Our effort is to point out the differences on the grounds of the given comparisons, and to propose measures aimed at enhancing the legislation on the grounds of the analysis.

Keywords: Long-term tangible assets, long-term intangible assets, valuation of long-term assets, IAS/IFRS, Act on Accounting, valuation of assets.

Introduction

The assets of an accounting entity represent long-term and short-term assets from the accounting viewpoint. Assets represent tangible and other means in a certain structure. These assets are recorded in the balance sheet of the given accounting entity. Accounting entities operating in SR are obliged to record assets in line with respective laws, valid in SR. As the Slovak Republic is a member state of the European Union, it is obliged to implement the International Accounting Standards in the legislation valid in SR. That is why we compare the legislation valid in SR to the International Accounting Standards valid in the European Union in terms of assets record-keeping.

Legal Regulation of Long-Term Assets in the Slovak Republic

The basic legal norm regulating the extent and way of record-keeping in the Slovak Republic is the Act No. 431/2002 Coll. on Accounting as amended.

From the viewpoint of time and value, we divide assets into long-term and short-term assets. Their comparison is shown in Table 1.

Table 1 – Comparison of long-term and short-term assets

Long-term assets	Short-term (current) assets
Usable life longer than 1 year	Usable life shorter than 1 year
Value higher than €1,700, respectively 2,400	Minimal value is not specified
Gradual wear	Consumed at once
Depreciated (except Account Class 03)	Not depreciated
Adjusting entries are made	Adjusting entries are not made (except inventories and receivables)
Tangible, intangible, financial character	Tangible or financial character

Source: authors

Under the provisions of Section 4, Clause 2 of the Act on Accounting, the Ministry of Finance of SR is competent to adopt measures for individual accounting entities whose record-keeping details it sets. The subjects of legislation analysis are accounting entities – business entities, and public sector accounting entities which keep their records using double entry book-keeping. Double entry book-keeping for businesses is regulated by means of the Measure No. 23054/2002-92 of the Ministry of Finance of SR, specifying the accounting details and framework chart of accounts for businesses keeping records using double entry book-keeping, as amended; and, in case of public sector entities, by means of the Measure No. 16786/2007-31 of the Ministry of Finance of SR, specifying the accounting details and framework chart of accounts for budgetary organisations, allowance organisations, state funds, municipalities and self-governing regions, as amended. Quoted measures of the Ministry of Finance of SR regulate the methods of long-term assets record keeping. Besides the aforementioned legal norms imposed by the Act No. 595/2003 Coll. on Income Tax as amended, legal limits have been posed on long-term tangible and long-term intangible assets.

Long-Term Assets Structure

Long-term assets represent assets to which an organisation has a relationship, and an economic benefit arises for the organisation from the given asset (while its ownership is not a condition). Long-term assets structure is the same in case of public sector accounting entities and in case of business entities.
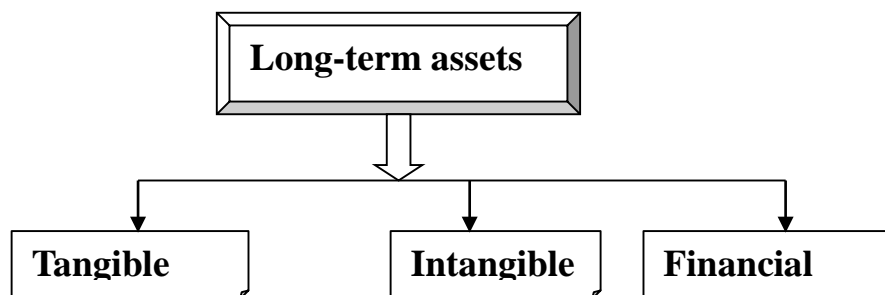
Picture 1 – Long-term assets structure
Source: Štangová. N. - Mihaliková. E. – Fabian. Š. 2011: Financial Accounting in Public Sector, Implementing the International Accounting Standards, p. 45.

Long-term tangible assets include:

lands, structures, flats and non-residential premises, works of art, collections, articles of precious metals,

independently movable things except the aforementioned movable assets and groups of movable things having separate economic specification with usable life longer than one year and value higher than legally stipulated by the Act on Income Tax (currently EUR 1,700), accessories, e.g. additional or exchange equipment which is a part of the asset´s value and records, technical evaluation of rented tangible assets depreciated during the rental period, tangible assets with the valuation of €1,700 or less, if its usable life is longer than one year on the grounds of the accounting entity´s decision.

Independently movable things (except movable assets: lands, structures, flats and non-residential premises, works of art, collections, articles of precious metals) and groups of movable things having separate economic specification with usable life longer than one year and value lower than legally stipulated by the Act on Income Tax (currently EUR 1,700) can

be included in long-term tangible assets. If an accounting entity does not include the given articles in its assets they will be recorded as inventory.

Long-term tangible assets are recorded using respective accounts of the framework chart of accounts for budgetary and allowance organisations, particularly the accounts of the Account Group 02.

Long-term intangible assets under the Section 22, Clause 7 of the Act No. 595/2003 Coll. on Income Tax as amended (hereinafter as the Act on Income Tax) are intangible assets with the entry price higher than EUR 2,400 and usability or operational and technical functions longer than one year including long-term intangible assets recorded by a legal successor of a taxpayer cancelled without liquidation and excluded from goodwill or negative goodwill under the Act on   Accounting. Intangible assets whose value is the same as the amount stipulated by the Act on Income Tax or lower, and usability is longer than one year, not included in long-term intangible assets, are recorded as a debit of the account 518 – Other Services.

Long-term intangible assets are recorded using respective accounts of the framework chart of accounts for budgetary and allowance organisations as well as businesses on the accounts of Account Group 01.

Long-term financial assets are divided into:

securities and shares in a daughter accounting entity, securities and shares in a company with significant influence, realizable securities and shares, debt securities held to maturity, loans provided by an accounting entity in a consolidated group,
long-term loans, works of art, collections, articles of precious metals and lands acquired for the purpose of long-term investment of available financial means.

Long-term financial assets are recorded on the accounts of Account Group 06.

Comparison of the Assets Structure According to Framework Chart of Accounts for Businesses and Budgetary Organisations

Assets structure means their inclusion and comparison in both sectors as follows:

Table 2 – Comparison of assets structure according to the framework chart of accounts

Name of account	Business entities	Budgetary and allowance organisations, municipalities
012 – Intangible results of research and development	The given account exists	The given account exists
013 – Software	The given account exists	The given account exists
014 – Valuable rights	The given account exists	The given account exists
015 – Goodwill	The given account exists	The given account does not exist
018 – Small long-term intangible assets	The given account does not exist	The given account exists
019 – Other long-term intangible assets	The given account exists	The given account exists
021 – Structures	The given account exists	The given account exists
022 – Independently movable things and groups of movable things	The given account exists	The given account exists
023 – Means of transport	The given account does not exist	The given account exists
025 – Orchards and vineyards	The given account exists	The given account exists
026 – Adult animals and their groups	The given account exists	The given account exists
028 – Small long-term tangible assets	The given account does not exist	The given account exists
029 – Other long-term tangible assets	The given account exists	The given account exists
031 – Land	The given account exists	The given account exists
032 – Works of art and collections	The given account exists	The given account exists
033 – Articles of precious metals	The given account does not exist	The given account exists

Source: authors

The aforementioned comparison implies that the assets structures in the chart of accounts for businesses and the chart of accounts for budgetary and allowance organisations are similar, however there are small differences. The business sector does not define the

following accounts: 018 – Small long-term intangible assets, 023 – Means of transport, 028 – Small long-term tangible assets, and 033 – Articles of precious metals. In order for business entities to follow the principle of true representation of reality in accounting, they record the account 018 on the account 019 – Other long-term intangible assets by means of analytical accounts. Non-existence of the account 023 is solved similarly, i.e. an analytical account to the account 022 – Independently movable things and groups of movable things is created. The account 028 is substituted by means of the analytical account to the account 029 – Other long-term assets. The account 033 is substituted by an accounting entity, similarly to other cases, by means of the analytical account to the account 032 – Works of art and collections.

Valuation of Long-Term Intangible, Long-Term Tangible and Financial Assets

Assets valuation in the record keeping of an accounting entity has a substantial role. The overall value of assets is recorded in the balance sheet. The value of assets is a decisive criterion for the specification of the duty of having the financial statements verified by an auditor (Section 19, Clause 1 a) of the Act on Accounting, or also in case of a fine imposed by the Tax Office under the Section 38, Clause d) of the Act on Accounting).

Under the Act on Accounting, long-term assets are evaluated on the grounds of the way of assets acquisition either using acquisition cost, replacement cost, own expenses or actual value [16, § 25].

Development of the International Accounting Standards for Long-Term Assets

International Accounting Standards Committee (IASC) started its operation in 1973. Its objective was to create and develop international standards regarding ethics in auditing and accounting verification in the public sector.

IFAC established the International Public Sector Accounting Standards Board, effective from November 2004. The International Accounting Standards Board is an independent institution under IFAC with a competence to develop and issue IPSAS standards (International Private Sector Accounting Standards), support their adoption and international convergence with other standards, and issue other documents offering instructions for issuing further standards and for the solution of newly occurred problems in financial statements of a public sector organisation [3, p. 11].

IFAC established the International Accounting Standards Committee, which issues the International Financial Reporting Standards (IFRS), regulating the international accounting standards for businesses. During the operation of IASC, 41 standards denoted as IAS – International Accounting Standards were introduced, and were to contribute to the enhancement and harmonisation of the financial reporting of economic phenomena. Several of these guidelines are still valid. In 2001, the function of this committee was taken over by the International Accounting Standards Boards – IASB, currently operating in London and introducing IFRS – International Financial Reporting Standards.

The international accounting standards for businesses are denoted as IAS/IFRS, and the international accounting standards for public sector are defined under the acronym IPSAS. Table 3 shows an overview of IAS/IFRS and IPSAS, defining the assets of accounting entities

Table 3 - The overview of IAS/IFRS and IPSAS

IPSAS standard (applicable for public sector)	IAS/IFRS (applicable for business entities)
IPSAS 16 – Investment property	IAS 40 – Investment property
IPSAS 17 – Property, Plant and Equipment	IAS 16 – Property, Plant and Equipment
IPSAS 21 – Impairment of Noncash-generating Assets	IAS 36 – Impairment of Assets
IPSAS 31 – Intangible Assets	IAS 38 – Intangible Assets

Source: authors

The given table clearly shows that the sphere of assets is defined similarly in IAS/IFRS (standards applicable for businesses) and in IPSAS (standards applicable for public

sector). Even though they have differing numbers, their nature is the same. No differences were found comparing IPSAS 16 to IAS 40 and IPSAS 31 to IAS 38.

We therefore only comment on differences found comparing IPSAS and IAS as follows:

The following differences were found comparing IPSAS 17 to IAS 16:

IPSAS 17 neither requires nor prohibits keeping records on national heritage assets. An accounting entity recording national heritage assets has to comply with the conditions defined in IPSAS 17; IAS 16 does not include such definition.

IAS 16 requires that lands, structures and equipment were valuated at acquisition cost upon recording. IPSAS 17 specifies that in case assets were acquired free of charge or in the acquisition cost value, the value of assets has to be set in their actual value.

The following differences were found comparing IPSAS 21 to IAS 36:

the method of value quantification from the usage of non-cash-generating assets under IPSAS 21 is different from the method used in IAS 36, as IPSAS 21 quantifies the value from the usage of non-cash-generating assets as the present value of the existing assets, and under IAS 36, the value from the usage of cash-generating assets is quantified as the present value of cash flows from the given assets.

IPSAS 21 enables a decision to stop assets building before their completion, if there is a sign of value lowering, and it also enables repeated initiation of building, if there is a sign of the assets value increase. The given alternative in decision-making is not enabled by IAS 36.

IAS/IRFS and IPSAS implementation in the legislation of the Slovak Republic was carried out gradually. The first phase of IAS/IFRS implementation took place in 2003, when the Measure No. 23054/2002-92 of the Ministry of Finance of SR became effective, stipulating the accounting details and framework chart of accounts for business entities using double entry book-keeping. IPSAS were implemented in record keeping for public sector as of 1st January 2008, since when the Measure No. 16786/2007-31 of the Ministry of Finance of SR, stipulating the accounting details and framework chart of accounts for budgetary organisations, allowance organisations, state funds, municipalities and self-governing regions, has been effective.

On the grounds of the aforementioned information, we can state that IAS/IFRS and IPSAS implementation were carried out in the same way, however in a different period.

Long-Term Assets Division from the Viewpoint of Their Valuation

Long-term assets division from the viewpoint of their valuation is given in IPSAS 16 and IPSAS 17 (in case of public sector entities) and IAS 16 and IAS 38 (in case of business entities).

The International Public Sector Accounting Standards, particularly IPSAS 16 – Investment Property and IPSAS 17 – Property, Plant and Equipment similarly define requirements as defined in IAS 16 and IAS 38 – for business entities. The following part therefore provides information from IAS 16 and IAS 38.

Long-term tangible assets are dealt with by IAS 16 – Property, Plant and Equipment; and long-term intangible assets are dealt with by IAS 38 – Intangible Assets.

According to IAS 16, assets classification is as follows: lands, structures, machines, boats, aeroplanes, motor vehicles, furniture and accessories, office equipment. IAS 16 regulates the first valuation and enables subsequent revaluation of tangible assets fulfilling the definition of tangible assets and record-keeping conditions. Tangible assets record-keeping rules include the following four requirements:

specification of the amount in which an asset is to be valuated upon its first acquisition;

monitoring of changes to the first acquisition value and their depiction on respective accounts (subsequent valuation);

specification of an extent in which the value of recorded assets is to be allocated in costs in future periods;

the record of definitive asset retirement.

The first valuation of assets under IAS 16 means that property, machines and equipment are valuated at the acquisition cost upon their acquisition.

IAS 38 – Intangible assets standard represents costs not fulfilling the criteria of the intangible assets recognition, particularly: a) formation expenses, b) costs of retraining of employees, c) costs of advertising and promotion, d) costs of relocation or restructuring of a part or a whole company.

Ways of long-term intangible assets valuation under IAS 38 are: a) at acquisition costs (in case of the acquisition of an intangible asset by means of purchase), b) at own costs (in case of the acquisition of intangible assets by own activities), c) at their actual value (in case of the acquisition of intangible assets by means of change).

Comparison of Legislation Implementation

The Slovak Republic has been a member state of the EU since 1st May 2004, and it was recommended to implement regulations valid within the EU in national legal regulations. The implementation of guidelines and standards in national legislation is a continuous process, and it proceeded as follows:

1st January 2003 – preparatory phase of the implementation – Act No. 431/2002 Coll. on Accounting, and Measure No. 23054/2002-92 of the Ministry of Finance of SR became effective, stipulating the accounting details and framework chart of accounts for businesses using double entry book-keeping.

1st January 2004 – the implementation of standards – Act No. 595/2003 Coll. on Income Tax. The legal norm defines limits valid for long-term tangible and intangible assets.

1st January 2008 – the establishment of accounting procedures by means of the Measure No. 16786/2007-3 of the Ministry of Finance of SR for budgetary organisations, allowance organisations, state funds, municipalities and self-governing regions.

Table 4 Comparison of the implementation of asset-related standards in the legislation of SR

International Accounting Standards	Slovak Legislation
assets are valuated at the acquisition costs	long-term assets valuation is: at the acquisition costs, own expenses and replacement costs
acquisition costs include purchase price and all directly attributable costs related to putting the given asset in operation	similarly to IAS, acquisition costs include purchase price and acquisition-related costs
costs capitalisation will be completed, when the acquired asset gets at its destination and is put in a condition under which it is operable	costs capitalisation will be completed, when the given asset is put in operation

Source: authors

Conclusion and Open Questions

The subject of our examination was the comparison of assets structure defined for public sector accounting entities to the assets structure binding for business entities. The subject of the analysis was also the comparison of international accounting standards related to assets, particularly IAS/IFRS (applicable for businesses) and IPSAS (applicable for public sector).

The analysis resulted in the following conclusions:

The comparison of the charts of accounts for businesses as well as the public sector from the viewpoint of assets structure resulted in finding out that structures are more-less similar. Differences were found in the fact that the following accounts do not exist in the chart

of accounts for businesses: 018 – Small long-term intangible assets, 023 – Means of transport, 028 – Small long-term tangible assets, and 033 – Articles of precious metals.

Differences were found upon the comparison of assets definitions under IAS and IPSAS.

The periods of the implementation of IPSAS and IAS international accounting standards in practice differs.

The following facts have remained open questions:

Non-existence of selected asset accounts in the chart of accounts for business entities is solved by analytical accounts in practice. Analytical accounts are not unified for accounting entities, and are not binding, i.e. each organisation creates them according to its own needs.

Therefore, differences in structure as well as assets valuation can occur. The given reason also raises a question whether the substitution of missing accounts by analytical accounts is sufficiently solved.

Differences found in assets definitions were caused by the fact that IPSAS 17 is more broadly framed, and uses the term "national heritage", as it concerns with the public sector assets, while within IAS 16, business sector does not know such definition.

Differing duration of the standards implementation can only be an advantage in case the gained experience was used.

Consideration of the aforementioned findings implies the following possibilities:

Creation of analytical accounts is among intra-organisational issues of an accounting entity. We therefore propose the introduction of a certain framework intra-organisational guideline, unified for all accounting entities.

IPSAS standards are used by public sector entities having a specific position in the national economy. Assets are therefore more broadly defined under IPSAS. The item "national heritage" in the assets structure has a character of undepreciated long-term assets, similarly to lands. Therefore, in case of a possibility to acquire such type of assets, we recommend business entities to include the definition of "national heritage" at least in an intra-organisational guideline.

Differing duration of standards implementation was a certain advantage in Slovakia in the given time phase, however, in spite of that, further continuous process of the harmonisation of IPSAS and IAS/IFRS is a condition of unified and compatible operation of organisations in line with the International Accounting Standards.

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STUDY ON EMPLOYEES' PERCEPTION ON INTERNAL MARKETING STRATEGIES OF SEVERAL ROMANIAN COMPANIES

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Abstract

Concerned to increase their efficiency and effectiveness in an increasingly competitive environment and under the pressure of educated and demanding customers, the Romanian companies must adopt the internal marketing view in the relations with their employees. In this context, this paper puts forth the following three objectives: (1) to highlight the internal marketing's importance in adopting customer orientation within Romanian companies; (2) to present the content of internal marketing; and (3) to highlight, trough a direct marketing research, the application of internal marketing strategies and tactics in the activity of large companies and small businesses operating on the Romanian market. The conclusions drawn from this research can be capitalized on applying the marketing view within these companies' activity. This paper also shows, from the employees' point of view, that there are some differences in applying internal marketing strategies and tactics within large companies and small businesses.

Keywords: Customer orientation, internal marketing, direct marketing research, relationship marketing

Introduction

Employees are the most intimate consumers of a company's practices. Thus, they need to be empowered with authentic values. Companies should use in relation with their employees the same approach they use with customers (Bendapudi, N., Bendapudi, V., 2009).

Since both the customer service climate and the employee climate are strongly correlated with the general perception of the buyer, following aspects emerge: (1) from the customers' point of view, the employees represent the company's offer; (2) employees represent the company, contributing to the increase or decrease of its reputation; (3) employees are responsible for applying the marketing view within the customer relationship (Dumitrescu, Apostu, 2009).

Employees' role in creating value for the company is highlighted by the process of aligning their behaviour with the brand promises, made to co-workers or customers. The goal of this process is to build an internal brand (Vallaster, de Chernatony, 2006). Building an internal brand implies building organisational structures within the company, which cover four elements of the company's identity: (1) organisational culture, comprising all the strategies, techniques and methods by which the company's management communicates the rules, norms and values which must be implemented by the employees (Schneider, 1988); (2) organisational design, namely consistency in keeping brand promises, made through company's external communications; (3) organisational behaviour, according to brand

promises; (4) integrated organisational communication, with both internal and external customers.

Management's decisions concerning employees' activity influence directly the company's competitiveness, in general, and the marketing's efficiency, in particular, at three stages: goals, strategies and tactics.

Since market differentiation between competitors is done increasingly by the quality of employees and their interaction with the customer (Bruhn, 1999), companies have been forced to integrate customer orientation with employee orientation, applying the internal marketing view.

Internal marketing – part of the global vision of customer orientation:

Aiming to develop employee awareness of their roles, so that the company can establish direct relations with its customers, internal marketing is an extension of relational marketing that occurs within the company (Hooley, Saunders, Piercy, 1998).

This concept, whose theoretical background has been deeply debated, became a marketing research field globally (table 1).

Table1

Perspectives on the internal marketing concept

Author(s)/date	Key points
Berry et al., 1976	Internal marketing results to jobs (internal products) that satisfy the needs of employees (internal market) while satisfying the objectives of the organization. Internal marketing is a strategy. A marketing program based on communication with employees. The development of their potential and motivating - remunerating those who offer excellent service.
Sasser and Arbeit, 1976	Internal marketing results into job satisfaction. Internal marketing is implemented through internal market research and job re-engineering aimed at developing jobs that attract and retain excellent service providers.
Berry, 1981, 1987	Internal marketing results in job satisfaction. Internal marketing is a strategy for job re-engineering and internal communication aimed at deriving customer-minded front-line personnel.
Grönroos, 1983	Internal marketing results in customer consciousness. Internal marketing is a strategy for developing the required "state of mind" that will allow customer service effectiveness under a broader relationship.
Gummesson, 1987	Internal marketing results to increased levels of productivity and efficiency. Internal marketing is implemented through communication with employees and culture change mechanisms.
George, 1990	Internal marketing results in effective internal exchanges. Internal marketing is implemented through coordinating human resource and marketing departments to improve the company's service orientation.
Ahmed and Rafiq, 1993	Internal marketing results to increased marketing strategy effectiveness by aligning, motivating and integrating the employees towards the implementation of company strategies. Internal marketing is implemented through the application of marketing techniques along with human resource management practices to facilitate the implementation of the company's market objectives.
Foreman and Money, 1995	Internal marketing may have various objectives depending on who is targeted (specific groups of employees or the entire organization). Internal marketing is implemented through communication, development and participative management and motivation and rewards.
Piercy, 1995	Internal marketing results to strategic alignment. Internal marketing allows the removal of interdepartmental barriers for developing and implementing the company's market objectives.
Author(s)/date	Key points
Grönroos, 1997	Internal marketing results to sales- and service-minded personnel. Internal marketing should be integrated with the marketing function because marketing is the responsibility of every employee who influences customer's value.
Wasmer and Brunner, 1999	Internal marketing results to individual employee's objectives alignment with company objectives. Internal marketing is implemented through formal and informal internal market research and communication to "sell" the company's objectives

	internally.
Varey and Lewis, 1999	Internal marketing results to change management. Internal marketing is the philosophy and the behaviour that allows rapid organizational change in response to the company's macro and micro environments.
Ahmed and Rafiq, 2000	Internal marketing results to increased productivity and job improvements. Internal marketing is the planned effort to achieve employee satisfaction, customer satisfaction and interfunctional coordination through employee empowerment.
Ahmed and Rafiq, 2003	Internal marketing results to increased productivity and job improvements. Internal marketing is a cultural framework and an instrument to achieve strategic alignment while building customer service competence by managing internal relations through internal communication.
Naude, Desai and Murphy, 2003	Internal marketing results to increased job satisfaction and market orientation adoption. Internal marketing perceived implementation is influenced by individual and organization characteristics.
Ballantyne, 2003	Internal marketing results to knowledge renewal. Internal marketing influences service procedures and operations facilitating their re-engineering using input from both the external and internal environment.
Lings, 2004	Internal-market orientation represents a company philosophy and results to increased levels of job satisfaction. Three major facets of internal-market orientation, namely internal market research, communications, response.
Lings and Greenley, 2005	Internal marketing interchangeably used with internal-market orientation to describe the effort to improve internal climate. It results to increased levels of job satisfaction.

(Source: Adapted from Gounaris, S. P., Internal Market Orientation and Its Measurements, Journal of Business Research, Vol. 59, 2005, pp. 433-434)

Univocally accepted as important, nowadays internal marketing is approached from three perspectives: (1) as a standard, implying a coherent orientation of all company's decisions in accordance with its employees' needs; (2) as a method, assuming that the internal (within the company) and external markets are consistent and can be equally approached, thus achieving a transposition of the external marketing mix into an internal marketing mix; and (3) as a set of relations, assuming that customers' and employees' satisfaction are interrelated, in a relationship marketing context, being perceived as a network which should be continually supported (Strauss, Schulze, 1990).

Regardless of the accepted definition, internal marketing has three main characteristics: marketing (1) is a systematic planning process (figure 1); (2) is a simultaneous orientation towards customers and employees; (3) is a generalized internal vision. Knowing their employees, correctly defining their needs and expectations, as well as knowing how satisfied they are, embody the information of the internal marketing plan of the company. At large, the activities covered by this plan address two general issues: (1) managing employee attitudes in accordance with the marketing view and (2) managing internal communication according to the marketing view.

Analysis of the internal and external situation

↓

Strategic planning of internal marketing
• Setting internal marketing goals
• Internal marketing strategy
• Internal marketing segmentation decisions

↓

Operative planning of internal marketing
• Marketing management instruments
• Human resources management instruments

↓

Implementation of internal marketing

↓

Control of internal marketing

Figure 1 – The internal marketing planning process
(Source: Bruhn M., Orientarea spre clienți – temelia afacerii de succes (Customer Orientation:
The Foundation of Successful Business), Bucharest: Economic Publishing House, 2001, p. 215)

Internal marketing is necessary only when the entire organization is going through a process of change, which is customer-oriented and based on the "zero defects" philosophy.

Research methodology

The decision problem, that made the direct marketing research seem necessary, consists in observing changes in employees' behaviour and attitude, in their reactions to the internal marketing efforts of the organization. In this context, it is necessary to know the impact of the communication, continuity and consistency of the implemented internal marketing strategies on the organizational climate, employees' trust and safety, and on the quality of organizational relationships.

The aim of this research was to study employees' perception on internal marketing strategies implemented within the organization. The marketing research was conducted between May 2013 - September 2013, on a sample of 350 employees of large companies, on the one hand, and small businesses, on the other hand, from the Central Region of Romania. Data was collected online, using a questionnaire with 13 questions. We obtained 324 valid questionnaires, of which 208 were filled in by employees of large companies and 166 by employees who work in small businesses.

In accordance with the purpose of this research 12 objectives were set, four of them being presented in this paper: (1) knowing employees' perception on the position held (the "product" variable of the internal marketing mix); (2) knowing employees' perception on the rewarding system (the "price" variable of the internal marketing mix); (3) knowing employees' perception on the quality of internal communication (the "promotion" variable of the internal marketing mix); (4) knowing employees' perception on the quality of the information dissemination methods (the "placement" variable of the internal marketing mix).

To achieve these objectives, the 4th question (Q4) of the questionnaire contained 14 statements on the internal marketing practices within the organization, specific to the variables of the internal marketing mix. Respondent's preference was measured using Likert's scale and the statistical analysis of respondents' opinion was performed using the IBM SPSS 20.0 program.

Table 2
Q4.1. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.1. Even before employment, the position I applied for had a clear picture	Strongly disagree	1,9%	0%	1,2%
	Disagree	9,6%	12,1%	10,5%
	Neutral	20,2%	31%	24,1%
	Agree	54,8%	34,5%	47,5%
	Strongly agree	13,5%	22,4%	16,7%
	Total	100%	100%	100%

Analysis revealed that, at group level, 63.8% of the employees working in large companies agree that before employment, the position for which they applied had a clear picture, 11.5% disagree and the remaining 20.2% have not yet formed an opinion in this regard. In comparison, of those working in small businesses, 56.9% agree with this statement, 12.1% disagree and 31% have not yet formed an opinion in this regard.

Of the grand total, 64.2% of the respondents agree that before employment, the position for which they applied had a clear picture, while 11.7% disagree with this statement.

Table 3
Q4.2. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.2. The job description mentions clearly the duties and responsibilities	Strongly disagree	3,8%	8,6%	5,6%
	Disagree	19,2%	12,1%	16,7%
	Neutral	17,3%	19%	17,9%
	Agree	45,2%	37,9%	42,6%
	Strongly agree	14,4%	22,4%	17,3%
	Total	100%	100%	100%

Also, 59.6% of the employees of large companies, respectively 60.3% of the employees of small business consider that the job description mentions clearly their duties and responsibilities.

Table 4
Q4.3. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.3. I think that my current job is appropriate for my education and my career needs	Strongly disagree	7,7%	1,7%	5,6%
	Disagree	13,5%	12,1%	13%
	Neutral	21,2%	22,4%	21,6%
	Agree	39,4%	37,9%	38,9%
	Strongly agree	18,3%	25,9%	21%
	Total	100%	100%	100%

While 57.7% of those working in large companies think that their current job is appropriate for their education and their career needs, within small businesses the percentage of those who agree with this statement is slightly higher (63.8%). Equally, of the grand total, more than half of the respondents (59.9%) agree on the compatibility between their education and their current job.

Table 5
Q4.4. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.4. My current position allows me to not limit myself only to the requirements from the job description	Strongly disagree	1%	3,4%	1,9%
	Disagree	11,5%	6,9%	9,9%
	Neutral	15,4%	13,8%	14,8%
	Agree	32,7%	39,7%	35,2%
	Strongly agree	39,4%	36,2%	38,3%
	Total	100%	100%	100%

As it can be seen in the above table, more than 70% of the surveyed employees (72.1% in large companies and 75.9% in small businesses) feel that their current position allows them to not limit themselves to the requirements from the job description. As regards the whole sample, this percentage remains approximately the same (73.5%), only 11.8% of the respondents having expressed their disagreement.

Table 6
Q4.5. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.5. I believe I am paid according to my work	Strongly disagree	8,7%	17,2%	11,7%
	Disagree	21,2%	17,2%	19,8%
	Neutral	28,8%	32,8%	30,2%
	Agree	34,6%	27,6%	32,1%
	Strongly agree	6,7%	5,2%	6,2%
	Total	100%	100%	100%

As regards the rewards for a job well done, less than half of the employees' of both large companies (41.3%) and small businesses (32.8%) consider that they are paid according to their work, while approximately 30% express their disagreement, and about 30% have not yet formed an opinion in this regard.

Table 7
Q4.6. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.6. I attend courses and trainings because they increase my value	Strongly disagree	7,7%	17,2%	11,1%
	Disagree	4,8%	19%	9,9%
	Neutral	21,2%	20,7%	21%
	Agree	46,2%	29,3%	40,1%
	Strongly agree	20,2%	13,8%	17,9%
	Total	100%	100%	100%

Within large companies, 66.4% of the employees attend courses and trainings to increase their value, in comparison with 43.1% of small businesses' employees who share this point of view. Also, the percentage of those who disagree with this statement is higher within small businesses (36.2%) than within large companies (12.5%).

Table 8
Q4.7. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.7. The offered bonuses and rewards stimulate/ motivate me	Strongly disagree	7,7%	19%	11,7%
	Disagree	17,3%	10,3%	14,8%
	Neutral	26%	27,6%	26,5%
	Agree	27,9%	34,5%	30,2%
	Strongly agree	21,2%	8,6%	16,7%
	Total	100%	100%	100%

While 49.1% of those working in large companies are motivated by the offered bonuses and rewards, within small businesses just 43.1% feel the same way. Equally, of the grand total, more than 40% of the surveyed employees agree with this statement.

Table 9
Q4.8. results (in percentage)

| Statement | Scale | Company type | | Grand total |
		Large company	Small business	
Q4.8. I am always, timely, informed of the company's policies and strategies	Strongly disagree	5,8%	13,8%	8,6%
	Disagree	9,6%	10,3%	9,9%
	Neutral	26,9%	29,3%	27,8%
	Agree	41,3%	39,7%	40,7%
	Strongly agree	16,3%	6,9%	13%
	Total	100%	100%	100%

As regards informing employees, on time, of the company's policies and strategies, 57.6% of the employees of large companies and 46.6% of those of small business express their agreement. However, the percentage of those who have not yet formed an opinion in this regard is quite high, namely 26.9% within large companies and 29.3% within small businesses.

Table 10
Q4.9. results (in percentage)

| Statement | Scale | Company type | | Grand total |
		Large company	Small business	
Q4.9. The company I work for ensures that I understand the implemented changes	Strongly disagree	6,7%	10,3%	8%
	Disagree	14,4%	8,6%	12,3%
	Neutral	26%	36,2%	29,6%
	Agree	41,3%	41,4%	41,4%
	Strongly agree	11,5%	3,4%	8,6%
	Total	100%	100%	100%

In terms of change management, 52.8% of the employees working in large companies and 44.8% of those working in small businesses think that the company they are working for strives to ensure that employees understand the implemented changes. Equally, as regards the whole sample, 50% agree with this statement, while 20.3% express their disagreement.

Table 11
Q4.10. results (in percentage)

| Statement | Scale | Company type | | Grand total |
		Large company	Small business	
Q4.10. I am regularly informed on possible new activities for personal development	Strongly disagree	8,7%	13,8%	10,5%
	Disagree	13,5%	17,2%	14,8%
	Neutral	19,2%	34,5%	24,7%
	Agree	44,2%	29,3%	38,9%
	Strongly agree	14,4%	5,2%	11,1%
	Total	100%	100%	100%

While 58.6% of those working in large companies think that they are regularly informed on possible new activities for their personal development, within small businesses just 34.5% of the employees agree with this statement.

Table 12
Q4.11. results (in percentage)

| Statement | Scale | Company type | | Grand total |
		Large company	Small business	
Q4.11. The company's management encourages and supports employees' initiative	Strongly disagree	3,8%	1,7%	3,1%
	Disagree	11,5%	12,1%	11,7%
	Neutral	30,8%	25,9%	29%
	Agree	33,7%	50%	39,5%
	Strongly agree	20,1%	10,3%	16,7%
	Total	100%	100%	100%

As regards supporting employees' initiative, 53.9% of the employees of large companies and 60.3% of those of small businesses think that the company's management encourages and supports their initiative, while approximately 15% express their disagreement in this regard.

Table 13
Q4.12. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.12. The company organizes enough meetings with the line manager in order to assess our personal development	Strongly disagree	9,6%	5,2%	8%
	Disagree	12,5%	25,9%	17,3%
	Neutral	20,2%	29,3%	23,5%
	Agree	39,4%	32,8%	37%
	Strongly agree	18,3%	6,9%	14,2%
	Total	100%	100%	100%

As it can be seen in the above table, the percentage of the employees who consider that the company organizes enough meetings with their line manager in order to assess their personal development is higher within large companies (57.7%) than in small businesses (39.7%). This difference is maintained also for those who disagree, namely 22.1% of the employees of large companies and 31.1% of those who work in small businesses.

Table 14
Q4.13. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.13. I am being told how valuable my work is (both for the customer and for me, as an employee)	Strongly disagree	6,7%	6,9%	6,8%
	Disagree	19,2%	29,3%	22,8%
	Neutral	24%	34,5%	27,8%
	Agree	33,7%	22,4%	29,6%
	Strongly agree	16,3%	6,9%	13%
	Total	100%	100%	100%

Another difference between large companies and small businesses is noticed in terms of communicating how valuable employees' work is. Thus, according to 50% of those working in large companies they are being told how valuable their work is, whereas just 29.3% of those working in small businesses feel the same way. Also, the percentage of those who disagree is 25.9% within large companies and 36.2% within small businesses.

Table 15
Q4.14. results (in percentage)

Statement	Scale	Company type		Grand total
		Large company	Small business	
Q4.14. I have all the tools and instructions necessary to evaluate my performance	Strongly disagree	5,8%	6,9%	6,2%
	Disagree	12,5%	19%	14,8%
	Neutral	23,1%	25,9%	24,1%
	Agree	46,2%	36,2%	42,6%
	Strongly agree	12,5%	12,1%	12,3%
	Total	100%	100%	100%

Last but not least, 58.7% of the employees of large companies say that they have all the tools and instructions necessary to evaluate their performance, in comparison with 48.3% of the employees of small businesses. As regards the whole sample, more than half of the surveyed employees (54.95) express their agreement with this statement.

Conclusion

Using the Student's t-test, we noticed that of the 14 investigated variables (Q4 1-14) in seven of them there is a significant difference between large companies and small businesses (table 16).

Table 16
t test
Independent Samples Test

		Levene's Test for Equality of Variances		t-test for Equality of Means				
		F	Sig.	t	df	Sig. (2-tailed)	95% Confidence Interval of the Difference	
							Lower	Upper
I think that my current job is appropriate for my education and my career needs	Equal variances not assumed			-,469	215,314	,640	-,329	,200
	Equal variances assumed	3,271	,071	-2,087	322	,038	-,525	-,015
I attend courses and trainings because they increase my value	Equal variances not assumed			1,787	224,814	,075	-,024	,490
	Equal variances assumed	10,388	,001	4,610	322	,000	,361	,897
The offered bonuses and rewards motivate me	Equal variances not assumed			4,371	203,179	,000	,345	,910
	Equal variances assumed	,163	,687	2,395	322	,017	,061	,620
I am always, timely, informed of the company's policies and strategies	Equal variances not assumed			5,408	238,174	,000	,442	,949
	Equal variances assumed	,552	,458	2,957	322	,003	,125	,622
I am regularly informed on possible new activities for personal development	Equal variances not assumed			1,464	250,619	,145	-,061	,412
	Equal variances assumed	1,791	,182	3,603	322	,000	,216	,734
The company organizes enough meetings with the line manager in order to assess our personal development	Equal variances not assumed			-,033	271,525	,974	-,222	,215
	Equal variances assumed	4,836	,029	2,554	322	,011	,078	,600
I am being told how valuable my work is (both for the customer and for me, as an employee)	Equal variances not assumed			2,666	269,069	,008	,089	,580
	Equal variances assumed	6,278	,013	3,132	322	,002	,151	,660

As regards the other seven investigated variables, there isn't any significant difference between large companies and small businesses.

Furthermore, most of the employees who agreed with the statements from the questionnaire work in a large company. Thus, we conclude that internal marketing strategies,

specific to the internal marketing mix, are better applied within these companies, as large companies have well-documented processes and procedures for the implementation of these strategies.

Meanwhile, results analysis revealed that internal marketing strategies and tactics are used less within small businesses. This could be caused by: (1) managers lack of knowledge on the internal marketing content; and (2) an organizational culture which, in most cases a "clan" type, favours an authoritarian management style not the participatory one.

Also, we have observed that domestic human resources consultancy companies tend not to apply the internal marketing philosophy. Thus, large companies turn to foreign consultancy companies which have branches in Romania.

Even within large companies operating on the Romanian market there is a significant difference between the internal marketing strategies and tactics applied in their countries of origin and those applied in their Romanian branches. These differences are noticeable especially in terms of motivating Romanian employees, salary package contents, and employee involvement in setting companies' goals and strategies.

The fact that approximately a quarter of the respondents disagree with the statements from the questionnaire highlights that the implementation of the internal marketing view is rather a desideratum than a reality within the companies operating on the Romanian market. Also, the differences between large companies and small businesses are small.

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ANALYSIS OF LEADERSHIP TAXONOMIES AND ORGANIZATIONAL OUTCOMES: EMPIRICAL EVIDENCE FROM MEDIA INDUSTRY OF PAKISTAN

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Abstract
This study was conducted to investigate various leadership taxonomies in media industry of Pakistan and their impact on certain organizational outcomes.The importance of and need for leadership in corporate is ever increasing. Various industries, now a day, are in a constant state of flux, and leaders in its constituting organizations are liable to alter the work settings in order to ensure compatibility with the changes. Furthermore, the recent layers of global recession have also necessitated a reshaping of organizational strategies. In these testing times, the organizations need leaders who can effectively deal with the situation as well as keep their workforce dedicated and motivated. Although there have been numerous international studies on leadership behaviours and organizational outcomes by using Multifactor Leadership Questionnaire, yet such comprehensive studies in the local corporate context have been missing. This was a pure quantitative research aimed at analyzing leadership styles and organizational outcomes through survey research design. For this purpose a questionnaire was designed and data was collected from a sample of 120 respondents. Four hypotheses were developed and tested through regression analysis. Various other statistical techniques including demographical analysis, reliability analysis and correlations were also employed for data analysis. The survey findings show strong correlations between some particular leadership styles and the organizational outcomes. The research significantly highlights the true fit between leadership taxonomies and the organizational outcomes. The research concludes with various ways of devising strategies which can enhance organizational outcomes by adopting appropriate leadership style.

Keywords: Leadership taxonomies, organizational outcomes, Multifactor leadership questionnaire

Introduction
Background of Study
Leadership has been a fundamental and extensively researched part of management literature. No other aspect has received much attention in management than the leadership.

Various leadership theories have evolved with changing technologies and environments. With the passage of time, the importance of and need for effective leadership in almost every organizational setting has been increased. The organizations, now a day, are in a constant state of flux, and leaders in its constituting organizations are liable to alter the work settings in order to ensure compatibility with the changes. Furthermore, the recent layers of global recession have also necessitated a reshaping of organizational strategies. In these testing times, the organizations need leaders who can effectively deal with the situation as well as keep their workforce dedicated and motivated.

These current and future challenges that are faced by organizations today require effective leadership if these is to remain vital enclaves of productivity, effectiveness, and service. The recent researches have expressed the concern that leaders in various fields are not sufficiently utilizing the dynamic leadership styles needed to maintain and enhance the organizational outcomes in today's increasingly complex internal and external environments. This study has been conducted to analyze leadership taxonomies among leaders in media sector of Pakistan as how different leadership styles adopted by bosses contribute towards organizational outcomes.   Although there have been numerous international studies on leadership behaviours and organizational outcomes by using multifactor leadership questionnaire, yet such comprehensive studies in the local corporate context have been missing. This research significantly highlights how various leadership taxonomies impact certain organizational outcomes and also brings forth a comprehensive view of adopting appropriate leadership style with regards to a particular situation and organizational settings.

Research Objectives
The objective of this research is to understand
Various leadership styles displayed by the bosses
The organizational outcomes related to the leadership style
Which leadership styles are frequently displayed in the local media sector
The suitable leadership style adopted by bosses as per organizational settings
The impact of leadership taxonomies on organizational outcomes with a focus on effectiveness, extra effort and satisfaction

Problem Statement
The problem statement is as follows:
Different leadership taxonomies prevail in the corporate media sector with the objective of enhancing outputs. What are the desired leadership taxonomies which can be exploited for improved outputs and how do these behaviors affect certain organizational outcomes?

Research Methodology
Leadership taxonomies and their related organizational outcomes have rarely been studied in the local context. A pure quantitative approach has been used in this research to measure the leadership styles and organizational outcomes. Bass and avolio's multifactor leadership questionnaire form has been used for collecting data and information from the sample of population. This tool proved extremely helpful in obtaining information as it permitted employees to express their feelings anonymously and safely. The research aimed to bring forth different leadership styles displayed in the local corporate sector and how these styles affect certain organizational outcomes. The research was limited to the media organizations operating in the city of Karachi.

Research Tool
This was a survey design research in which questionnaires were administered to a pool of respondents. Multifactor leadership questionnaire (MLQ) developed by Boss and Avolio has been utilized as data collection tool in this study. The MLQ measures certain leadership taxonomies which include transformational leadership, transactional leadership and laissez faire leadership. The MLQ also measures certain organizational outcomes related to leadership styles of bosses. These organizational outcomes include effectiveness, extra effort and satisfaction.

Research Variables

The leadership factors (transformational, transactional and laissez faire) are taken as the independent variables for this research while organizational outcomes are taken as dependent variables. The independent variables (leadership factors) have been categorized as;

Idealized influence (attributed)

Idealized influence (behavior)

Inspirational motivation

Intellectual stimulation

Individual consideration

Contingent reward

Management by exception (active)

Management by exception (passive)

Laissez faire

As per the conceptual framework of the study, the organizational outcomes are dependent on certain leadership factors. These dependent variables of organizational outcomes have been classified as follows:

Effectiveness

Extra effort

Satisfaction

Hypothesis

Following are the hypotheses of this study:

H1–transformational leadership is positively and significantly related to organizational outcomes

H2–contingent reward is positively and significantly related to organizational outcomes

H3–management by exception is positively and significantly related to organizational outcomes

H4- laissez faire leadership is positively and significantly related to organizational outcomes

Respondents

The respondents were middle management; managers, front-line managers, assistant managers, young executives and junior officers. Their bosses were mostly general managers, team/project leaders, assistant vice presidents etc. The sample included a total of 120 respondents.

Sampling

Non probability sampling was designated for this research under which convenience sampling was utilized.

Leadership

When one individual attempts to affect the behavior of others in a group without using the coercive form of power, we describe the effort as leadership (gibson, ivancevich & donnelly, 1991). The literature of leadership has progressed along several paths, with most of the earlier definitions and writings focused on the use of power and authority. Later research shifts attention to the traits of leaders and their behavioral styles, e.g. Autocratic, participative. Another path emphasized the situation and how the leaders, followers, and situation interact and work. Other parameters that have been considered in the development of leadership theories include the organization's governance structure, such as bureaucratic, collegial, or

political; leadership styles, such as democratic, laissez-faire, or political; functions of leadership, describing what leaders do; organizational task analysis, such as management by objectives (drucker, 1954); types of people, such as theory x and theory y leadership (mcgregor, 1960); and relationships between tasks and people (fleishman, 1953; likert, 1961).

Theories of Leadership
Trait Theory

In the middle of the twentieth century, discussion and research was focused on identifying certain traits associated with effective leadership. Finding valid ways to measure personality traits has been a problem for researchers (gibson et al, 1991). Trait theories of leadership have attempted to correlate effective leadership with physical characteristics, such as age, height, weight, and appearance. These studies have produced contradictory results (stogdill, 1948). The traits most associated with leadership effectiveness in studies conducted in the mid 1900's were: intelligence, judgment, creativity, integrity, independence, cooperation, self confidence, emotional balance and diplomacy (stogdill, 1974, argyris, 1955) however, leadership success is neither primarily nor completely a function of these or other traits, and many contradictory research findings still exist.

Personal-Behavioral Theories

In the late 1940's the studies which were conducted were focused on evaluating the behavior of individuals and relating that to leadership impact. Rather than searching for personality traits, these studies endeavored to analyze the behavioral manifestations of a person exhibiting leadership. This resulted in a number of well-known personal-behavioral leadership theories. These two-facto theories isolated characteristics of leaders who focused on human concerns from leaders whose main focus was the task, or getting the job done. This person-task dichotomy led to the development of the employee-centered and job- centered leadership styles identified by Likert (1961) and his colleagues at the University of Michigan. The principle subjects in their research were formal leaders and followers in public utilities, banks, hospitals, manufacturing, food, and government agencies. The university of Michigan studies concluded that although employee-centered and job-centered styles resulted in production improvement, after a brief period of time the job-centered style created pressure that was resisted through absenteeism, turnover, grievances, and poor attitudes. Although it appeared that the best style of leadership was employee-centered, the studies did not clearly show that one particular style of leadership was always the most effective.

The Path-Goal Leadership Theory

This theory was originally presented by house in 1971. According to this theory, leaders should increase the number and kinds of rewards available to subordinates, and should provide guidance and counsel to clarify the manner in which these rewards can be attained. The leader works at making the path to goals as clear as possible for subordinates. Although the path-goal model is an improvement over the trait and personal-behavior theories, the predictive power of the model is questionable. Hersey and Blanchard (1982) developed a third situational leadership model called the tri-dimensional leader effectiveness model. In this model, the leadership behavior is classified as task behavior and relationship behavior. The third dimension of the tri-dimensional model is the environment in which the leader is operating. The effectiveness of the leader depends on how personal leadership style interrelates with the environment in which he or she operates. Leadership behaviors in the tri-dimensional model have been studied using the leader effectiveness and adaptability description instrument (lead) (heresy & Blanchard, 1974). Researchers have concluded that no leadership style can be regarded as the ultimate option, and the leaders who are able to

modify their leadership style with regards to a particular situation or external environment can be termed as the effective leader.

Transformational Leadership Theory

Many of the leadership theories discussed thus far have implied that leadership is an exchange process and that leaders reward followers when they accomplish agreed-upon objectives. A special case of transactional leadership, but one in which an employee's reward is internal, is referred to as transformational. Since the 1980's, much of the discussion on leadership has focused on transformational characteristics. A theory of leadership proposed by burns (1978) and elaborated by bass (1985) identifies the transformational leader as one who motivates followers to work for transcendental goals and for higher level self-actualizing needs instead of working through simple exchange relationships with followers (bass, avolio, & goodheim, 1987). Transformational leader provides a vision and then inspires the followers to dedicate themselves for achievement of envisioned objectives. While transactional leaders clarify routines, give directions and adjust work settings, transformational leaders make major changes in the mission, business methodologies and workforce management, in order to achieve the envisioned philosophies. The transformational leader may change the entire philosophy, systems, and culture of an organization.

Leadership Factors
Transformational Leadership Factors

Idealized influence (attributed): The employees perceive their leaders as influential, charismatic and dedicated to attainment of higher objectives.

Idealized influence (behavior): The steps taken by the leader are based upon certain ethics, values and achievement of mission.

Inspirational motivation: Leaders effectively present a roadmap for life cycle of the organization, and motivate the subordinates to subordinate their personal agendas in favor of organizational preferences.

Intellectual stimulation: Leaders foster a learning and adaptive culture where freedom of expression of ideas exist. People are willing to take risks and innovation & creativity is encouraged by the superiors.

Individual consideration: Leaders deal with their subordinates individually; boost their confidence personally and groom them to the fullest of their potential.

Transactional Leadership Factors

Contingent reward: Leaders give certain reward to the subordinates who are able to complete the assigned job meticulously.

Management-by-exception (Active): The leaders actively check the subordinates and take immediate remedial measures when some mistakes are being done.

Management-by-exception (Passive): The leaders provide freedom to subordinates to perform their routine tasks and take action only in case of emergence of certain problems or deteriorating of established standards.

Studies in Leadership using the MLQ

Research using the MLQ to study leaders in a wide variety of fields has consistently shown stronger relationships to organizational outcomes for transformational leadership than between organizational outcomes and transactional leadership (seltzer & bass, 1990). The relationship between transformational leadership behaviors and various organizational outcomes has been a prime aspect of research, and studies have indicated that job satisfaction

of subordinates is enhanced by transformational leadership behaviors. Yusof (1998) investigated the relationship between coaches' job satisfaction and transformational leadership behaviors of athletic directors and found that subordinates' job satisfaction is enhanced by transformational leadership behaviors. Thus, coaches who evaluated their superiors as low in transformational leadership behaviors were less likely to be satisfied with their job than their counterparts who viewed their athletic directors as highly transformational.

Another important question in leadership research is the relationship between transformational leadership and learning, particularly where learning is transformed into useable knowledge to accomplish objectives or solve problems. Ash (1997) studied the influence of leadership style on work teams and found that transformational leadership behaviors and actions often do influence individual and group learning. Transformational leaders created a climate for learning by encouragement, establishing cooperation and the identifying and using team talent. These leaders enabled team members to learn how their actions and decisions affect larger systems and provided team members with opportunities to become their own leader.

Data Analysis and Findings
Transformational Leadership & Organizational Outcome
Statistical Analysis:

Summary output

Regression statistics	
Multiple r	0.831822
R square	0.691928
Adjusted r square	0.688785
Standard error	0.587981
Observations	120

Anova

	Df	Ss	Ms	F	Significance f
Regression	1	76.09599	76.09599	220.1079	8.46e-27
Residual	118	33.88068	0.345721		
Total	119	109.9767			

	Coefficients	Standard error	T stat	P-value	
Intercept	-0.0613	0.174107	-0.3521	0.725517	
Tf leadership	1.010886	0.068137	14.83604	8.46e-27	

Table 4.4: regression analysis between transformational leadership and organizational outcomes

Explanation

From the table we can see that

F test value is 220 meaning that the model is highly significant

T value is 14.83, showing high significance of the variables

The result of this regression test is given below in form of an equation:

O.O = -0.0613 + 1.011 TF

Organizational Outcome = -0.0613 + 1.011 Transformational Leadership

This equation mathematically shows that if transformational leadership at workplace increase by 1 then organizational outcome would increase by 0.95 (-0.0613 + 1.011 * 1). This shows that whenever there is an increase/decrease in transformational leadership at workplace then organizational outcome would increase/decrease in the same direction to almost the same degree. Hence our following hypothesis is Accepted:

H1: Transformational leadership is positively and significantly related to organizational outcomes.

Contingent Reward (factor of Transactional Leadership) and Organizational Outcomes
Statistical Analysis:

Summary output

Regression statistics	
Multiple r	0.904979
R square	0.818986
Adjusted r square	0.817139
Standard error	0.392736
Observations	120

Anova

	Df	Ss	Ms	F	Significance f
Regression	1	68.39014	68.39014	443.3957	3.76e-38
Residual	118	15.11569	0.154242		
Total	119	83.50583			

	Coefficients	Standard error	T stat	P-value
Intercept	0.240084	0.116293	2.064472	0.041615
Contingent reward	0.958337	0.045512	21.05696	3.76e-38

Table 4.5: regression analysis between contingent reward and organizational outcomes

Explanation

From the table we can see that

F test value is 443.4 meaning that the model is highly significant

T value is 21.06, showing high significance of the variables

The result of this regression test is given below in form of an equation:

O.O = 0.24 + 0.96 CR

Organizational Outcome = 0.24 + 0.96 CR

This equation mathematically shows if contingent reward increase by 1 then organizational outcome would increase by 1.2 (0.24 + 0.96 * 1). This shows that whenever there is an increase/decrease in contingent reward at workplace then organizational outcome would increase/decrease in the same direction to almost the same degree. Hence our following hypothesis is Accepted:

H2: Contingent Reward is positively and significantly related to Organizational Outcomes

Management by Exception (factor of Transactional Leadership) and Organizational Outcomes
Statistical Analysis:

Summary output

Regression statistics	
Multiple r	0.838744
R square	0.703491
Adjusted r square	0.700465
Standard error	0.502403
Observations	120

Anova

	Df	Ss	Ms	F	Significance f
Regression	1	58.68824	58.68824	232.5128	1.29e-27
Residual	118	24.73605	0.252409		
Total	119	83.42429			

	Coefficients	Standard error	T stat	P-value
Intercept	0.166252	0.148767	1.117533	0.266499
Management by exception	0.887763	0.05822	15.24837	1.29e-27

Table 4.6: regression analysis between management by exception and organizational outcomes

Explanation

From the table we can see that

F test value is 232.5 meaning that the model is highly significant

T value is 15.2, showing high significance of the variables

The result of this regression test is given below in form of an equation:

O.O = 0.17 + 0.89 MBE

(Decline in) Organizational Outcomes = 0.17 + 0.89 Management by Exception

This equation mathematically shows that if management by exception increases by 1 then decline in organizational outcome would increase by 1.06 (0.17 + 0.89 * 1). This means that decline in organizational outcome is directly proportional to or positively dependent on management by exception i.e. An increase in overall management by exception means a decline in organizational outcomes. Hence our following hypothesis is Rejected:

H3: Management by exception is positively and significantly related to Organizational Outcome

Laissez Faire Leadership and Organizational Outcomes:
Statistical Analysis:

Summary output

Regression statistics	
Multiple r	0.823858
R square	0.678742
Adjusted r square	0.675464
Standard error	0.514112
Observations	120

Anova

	Df	Ss	Ms	F	Significance f
Regression	1	54.72591	54.72591	207.0511	6.66e-26
Residual	118	25.90249	0.264311		
Total	119	80.6284			

	Coefficients	Standard error	T stat	P-value
Intercept	0.384161	0.152234	2.52349	0.013228
Laissez faire leadership	0.857271	0.059577	14.38927	6.66e-26

table 4.7.: regression analysis between laissez faire leadership and organizational outcomes

Explanation

From the table we can see that

F test value is 207 meaning that the model is highly significant

T value is 14.4, showing high significance of the variables

The result of this regression test is given below in form of an equation:

O.O = 0.384+ 0.857 LF

(Lack of) Organizational Outcome = 0.384+ 0.857 Laissez Faire Leadership

This equation mathematically shows that if laissez faire leadership increase by 1 then organizational outcome would decline by 1.24 (0.38+ 0.86 * 1). This means that lack of organizational outcome is directly proportional to or positively dependent on laissez faire

leadership i.e. An increase in overall laissez faire leadership at workplace means an increase in lack of organizational outcome. Hence our following hypothesis is Rejected:

H4: Laissez Faire Leadership is positively and significantly related to Organizational Outcomes

Discussion

Leadership involves the use of power and acceptance of the leader by the followers. This ability to influence followers is related to followers' need satisfaction. The trait approach has attempted to predict leadership effectiveness from physical, sociological, and psychological traits. Personal- behavioral descriptions of what the leader does use terms such as employee-centered, job-centered, initiating structure, and consideration, resulting in a great deal of semantic confusion and overlap in the definition of leadership behavior. The personal-behavioral approach suggests that leaders should consider situational variables, and they can do little to improve effectiveness unless they can properly modify these variables or change their leadership style. The situational approach emphasizes the importance of forces within the leader, subordinates, and the organization. To achieve effectiveness, the interaction of these forces must be properly diagnosed. Transformational leadership theory describes the leader who motivates others by subordinating personal self interest in the favor of self actualization and achievement of organizational objectives. This study clearly shows that leadership style is a major determinant of organizational outcomes and is the most vital force in making and shaping organizational contributions and achievements. It is clear that employees' output and satisfaction resonates strongly with the leadership style of their bosses. There is a very strong emotional and behavioural contagion at work in the workplace where the juniors are greatly and deeply influenced by the leadership behaviour of their superiors. The survey shows that an effective leadership style adopted by the boss eventually makes his subordinates perform better and efficiently. This in turn phenomenally enhances the certain organizational outcomes.

The first hypothesis of this study is that transformational leadership is positively and significantly related to organizational outcomes. This study advocates that there is a strong positive correlation between transformational behaviors and three organizational outcomes. All correlations were statistically significant. This hypothesis was accepted (table 4.3). This positive relationship has been strongly supported in the literature, including, but not limited to, studies of world leaders, clergy, business managers, naval officers, and financial executives. Yusof (1998) found that transformational behaviors in athletic coaches resulted in the job satisfaction of their employees. Ash (1997) found that transformational leaders had the knowledge and skills to accomplish organizational objectives and solve problems. Research on leadership in health care has also supported the positive relationship between transformational behaviors and organizational effectiveness (arends, 1997; opeil, 1998). The education literature also supports the positive relationship between transformational leadership and organizational outcomes. In a study of K-12 school administrators, stone (1992) observed that transformational styles were related to long term development and change, produced higher levels of effort and satisfaction of teachers, and greater productivity and outcomes for the organization. Leadership behaviors of leaders in local corporate sector have not previously been studied using the MLQ. The findings in this study on the positive relation among transformational behaviors and organizational outcomes are consistent with the leadership research in other fields and contribute to the available literature on transformational leadership.

The second hypothesis of this study is that contingent reward is positively and significantly related to organizational outcomes. As long as the transactional leadership is concerned, contingent reward was the one transactional leadership factor which was found to

have strong positive correlations with all three organizational outcomes. This hypothesis was also accepted (table 4.4). While transformational behaviors define the charismatic, enthusiastic leader who inspires others with a vision, encourages creativity, and gives personal attention to all individuals, transactional behaviors describe a leader who gives individuals a clear understanding of what is expected of them and "intervenes only if standards are not being met or if something goes wrong." While transactional behaviors relate to lower order managerial objectives and rewards for effort, with transformational leadership the employee's reward is internal. In repeated investigations leaders have emerged as following both transformational and transactional leadership styles for employee management (avolio, bass & jung, 1995). The finding that contingent reward (CR) did not have a negative correlation with organizational outcomes was consistent with transformational leadership theory. When a factor analysis of relationships among all the scales on the MLQ was done in various leadership researches, the transactional behavior (contingent reward) was highly correlated with the transformational behaviors (avolio, bass & jung, 1995). The rigorous following of transactional leadership fosters a culture of managerial trust, compatibility and consistency, which acts as a foundation for transformational leadership. These findings have been supported in the literature on leaders in public administration, where contingent reward was related to job satisfaction (correli, 2004). In the higher education literature, archie (1997) also found that the transactional behavior, contingent reward, was related to the department chair's effectiveness, faculty satisfaction, and extra effort.

The third hypothesis of this study is that Management by Exception is positively and significantly related to organizational outcomes. The finding in this study that was not frequently addressed in the leadership literature was the significant negative correlation between one of the transactional leadership behaviors (management by exception-passive) and the three perceived organizational outcome scales. Another transactional leadership behavior (management by exception-active) was found to have weak correlations with all three organizational outcomes.This hypothesis was rejected (table 4.5). A study of community college administrators also reported a negative correlation between management by exception-active and faculty satisfaction (archie, 1997). The last hypothesis of this study is that laissez faire leadership is positively and significantly related to organizational outcomes. The finding of this study which is consistent with all the previous researches and literature is that laissez faire leadership has significant negative correlation with all the three perceived organizational outcomes. This hypothesis was also rejected (table 4.6). Laissez faire has been characterized as a non leadership factor. A leader is characterized by his/her ability to mobilize people and guide towards collective achievements. Once a leader becomes indifference to what all is happening around, he falls into the category of laissez faire. Keeping in view the present era of rapidly changing environments and fluctuations, the leadership demands continuous presence of mind and appropriate decision makings. Contrary to this, laissez faire leadership believes in taking no action when required. Hence it is understandable that it is negatively related to organizational outcomes.

One of the major findings of this study was that demographic characteristics of leaders have a mixed relationship with leader behaviors. No significant relationships were found between transformational leadership behaviors and the leader's gender. Several studies have supported the hypothesis that female leadership styles are more transformational than males (young, 1990; padde, 1995; daughtry& finch, 1997; maher, 1997). Although this finding was not supported in this study, there was a significant relationship between gender of the leader and the transactional behavior (management by exception-passive), and laissez-faire leadership, with males scoring higher than females. The age of the leader was found significantly related to transformational behavior (inspirational motivation) but the

relationship was not linear. One possible explanation for this finding may be that age is related to years of experience in the key managerial position.

There was a significant relationship between the transformational behavior (idealized influence- behavior) and years of experience in the position, and like the findings for age, the relationship was not linear. The transformational behavior (intellectual stimulation) was also significantly related to years of experience, but once again, this relationship was not linear. The executives with comparatively lesser years of experience had significantly higher scores for the transactional behavior (management by exception-active). These findings demonstrate the full range of leadership behaviors across the transactional-transformational continuum. The managers who are new to the position may use both transactional and transformational behaviors in the early stages of the job. When they are first becoming acquainted with subordinates, they may choose not to intervene much initially. The fluctuation in their transformational behaviors over time can be attributed to their own career endeavors. During the middle years of the managerial career, the transformational behaviors have been found to be on the decreasing side. A possible explanation to this fact may be that the leaders at this stage may become very much absorbed by promotion and tenure activities, leaving little time to inspire and motivate the subordinates. It is likely that during later years of their career, these leaders could once again be an idealized influence on their subordinates.

Conclusion

This study investigated various leadership behaviors of bosses and their related organizational outcomes as measured by multifactor leadership questionnaire. Since transformational leadership behaviors are related to worker satisfaction and organizational effectiveness, the leaders can use this awareness as a rationale for career decisions and as a basis for personal growth. The awareness of one's leadership style can be used to identify the potential for success or failure in leadership positions in almost all the organizational settings. Transformational leadership theory and its relationship to organizational effectiveness can serve as a basis to form a framework for course content in leadership development. Transformational leadership behaviors can be taught in departmental in- services and training seminars, and promoted through designing organizational cultures to accommodate transformational styles of leadership.   Increasing transformational leadership within organizations may help in the recruitment of employees, clients, and students who are likely to be attracted to a department whose leader is charismatic, successful, optimistic, and dynamic.

Every year millions of dollars are spent on employee and management training & development, and team interventions etc. But modifying leadership taxonomies of bosses remain largely ignored and unaffected. It acts as an impediment for any employee training to be internalized and fully utilized to its maximum potential. Organizations need to understand that without first working towards leadership aspect of bosses, none of other trainings would institutionalize the desired changes in the workforce and organizational outcomes. It is evident from the survey findings that adopting appropriate leadership style can significantly enhance the organizational outcomes. Organizations need to include in every training program a module of adopting appropriate leadership behaviour. Multifactor leadership questionnaire can be administered to find out the existing leadership style of bosses and managers. In this regard, an "appropriate leadership style chart" can be introduced which precisely highlight the appropriate leadership would style as per the situation. This indicator can then be called as ALSC, (appropriate leadership style chart). ALSC would then mean;

The degree to which a person or specifically a leader is aware of and acknowledges his/her existing leadership style.

The understanding and recognition of the organizational outcomes related to that leadership style.Understanding, how to regulate his/her leadership style or adopt a specific leadership style as per different situations and organizational settings.

The organizations need to make their professional development programs focus on promoting and developing the sense of adopting appropriate leadership style as per the situation or opportunity.

Limitations & scope for future research

Leadership has numerous characteristics but for this paper, the research has been limited to only nine variables mentioned in multifactor leadership questionnaire. Similarly, only three organizational outcomes are measured by MLQ. The further research can be conducted by taking into consideration all the variables. Leadership styles of bosses can be studied both by psychological testing and survey findings from subordinates. Due to the researcher's little experience of psychological testing and the time constraints, the research has been restricted to conducting a survey by administering multifactor leadership questionnaire to employees in order to find out the existing leadership style of their bosses. The most notable limitation was that of limited available time. Another major hurdle was the lack of literature and studies in the local context. Although there are numerous international researches on such topic but the literature in context with local corporate sector was not available. Due to the nature of research, a notable limitation has been getting honest feedback from people. Although it was clearly specified on the survey questionnaire that the information given would be treated strictly for research purpose, yet a lot of respondents were reluctant to fill the questionnaires regarding their bosses. Another limitation is that the sample size is not sufficient enough to reflect the actual reality of the organizations functioning in Pakistan in context with determining the leadership style and its impact on organizational outcomes. The research was limited due to time and resource constraints. In order to have a more detailed insight, the future research may be carried out by taking greater sample size.

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IMPORTANCE AND MEASURES OF DISASTER MANAGEMENT IN LIBRARIES

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Abstract

The aim of this article is to explore the importance and measures that can be taken to avoid the man made disasters and minimize the effect of all types of natural disasters in the library. Current literature on disaster management will be received to determine the new trends in these fields. Disasters in libraries and other related information centers have become a common occurrence in the recent past in all parts of the world. These disasters are due to both man made and natural causes.

Why Disaster Management is important?

"Disaster management" includes disaster control planning. It also encompasses broader issues for a successful implementation. Recently the term "risk management" has been problems of known risks at source. Good disaster management com prevent fires floods, thefts etc from happening, and if they happen, their effect would be greatly minimized. Disaster control is properly structured and systematic plan which should be known by all staff. The staff should also know the risks involved and their roles in the event of an actual disaster situation. Disaster management is most important because of the value of the materials, services provided in the libraries and security measures which can be affected by them. Some of the material, physical facilities and human lives destroyed by the various disasters, in order to prevent great losses brought about by disasters, it is necessary to take precautions.

Keywords: Disaster Management, Libraries

Definition

Disaster is any incident which threatens human safety and damages or threatens to damage a library building, collection or items, equipment, systems and services disaster can also be defined as "an event whose timing is unexpected and whose consequences are seriously destruction." Disaster can have serious financial implication and also cause disruption of services. In fact there is no library in the world that is free from risk and disaster, whether natural or man-made can happen any time in any part of the world? In spite of the above scenarios, most of the libraries do not have disaster control plans. As a result, there is need to sensitize senior managers so that the institutions can be prepared. In order to avoid disasters to affect the library and information centre in research institutions, it is necessary to have a disaster management plan.   Risk management is the process of measuring or assessing risk and the development strategies to manage the risk.

Kinds of Risk/Disaster:
There are three main kinds/types of risk/disaster:
Natural Disasters
Human/man-made Disasters
Technical Disaster
Natural Disasters:
Rain

Flood and Cyclone
Earthquakes and drought
Biological damages
Micro-organisms, insects or vermin infestation
Volcanic eruptions
Cold wave and thunder storms
Heat waves and mud mud slides
Air quantity: temperature and humidity
Sinkholes, etc

Man Made Disasters:
Acts of war and terrorism
Fires
Water (broken pipes, leaking roofs, blocked drains)
Explosions
Liquid chemical pollution
Building deficiencies
(Structure, design, environment, maintenance)
Power failures
Technical
Disaster:
Collapse of shelving and other indoor structural accidents.
Computer system failure
Elevator failure
Power failure
Heating and cooling system failure
Telecommunication failure
Risk/Disaster in Libraries
The development and dissemination of information in various forms and media on a local, national and international level has envisaged the librarians to be ad vocative in all means of information service provided from their libraries. The applications of risk management in libraries start from the collection development. The different types of risk include.

Introduction

Libraries in general are experiencing unprecedented demands for change both in the way they work and the information and materials they provide. Librarians have tended to greet the need for change with feelings of insecurity and visions of ongoing chaos. The vitality and relevance of academic libraries are increasingly at risk. Faculty and students on / off campuses expect more from the library due to the growth of information available through electronic resources. As the changes in higher education are moving, librarians, as collaborators, integrators, instructional designers and information consultants and models of information delivery necessitated not only increased relation between faculty-librarian contacts, but also dramatic changes in the nature of faculty-librarian relationships. The need for understanding of different techniques in procuring content, management of content, rights of access, collection development policies, etc with risk associated with managing different activities in association with other librarians, publishers, system specialists, students and faculty and other are discussed in the article. Risk management is the process of measuring or assessing risk and then developing strategies to manage the risk.

Areas of Risk Management

The different areas, where risk management can occur in library environment are:

Assessing the institution

Acquisition/collection development

Assess rights by the users

Risks associated with migration

Scholarly

Consortium arrangements

Staff training and recruitment

Preservation decisions

Use of technology by the students, faculty and library staff

Security aspects for library materials and staff

The risk of exposing the items in the collection to theft, mutilation or accidents loss

Building structure

Behavior

Authorities co-operation

Provision of facilities

Rules and regulations

Financial aspects

Risk management is the sum of all activities directed towards acceptably accommodating the possibility of failure in a program. Risk management is based on assessment: every risk management assessment includes a number of tasks:

Identification of concerns

Identification of risks

Evaluation of the risks as to likelihood and consequences

Assessment of option for accommodating the risks

Prioritization of risk management efforts

Development of risk management plans.

Risks and Strategies for Risks

Assessing the Institution

Academic libraries address their mission to support research and teaching by building collections and developing services intended to meet the information needs of their users. If there is sudden change in administrative/managerial personnel, and the change in organizations goal and policy issues, may also pose risks for the libraries in procurement policy and other activities.

Acquisition Collection Management

Librarians try to assure for information supply as per the user demand by having collection development policy by allocating budgets in institutional priorities does not meet user needs and expectations, can lead to spiral of loss of funding; resulting in a decrease in usefulness, by further erosion of fiscal support and the decline in the quality of the collection in the short run. Due to this, there is a risk for decline in budge allotment or the budget allotted may by divert to other departments.

Content Management

For many reasons libraries do not have the same degree of control over the content in digital resources. Providers of digital information resources are able to add content or more often, delete content from their products without their customers consent. Libraries are frequently notified after the fact or given very little advance notice of these actions. On occasion, no notification in issued. Libraries and their users simply discover the content

change. Unplanned content changes affect the collection's reliability and integrity and content removal may pose risks to the library profession's commitment.

Assess Right By Users

Legal risks can arise in relation to the assess to, use and insemination of data and information. These risks increase with on-line material. Proprietary rights to software, database, written works and other original materials. Information used, updated and circulated should be accurate, both in order to avoid the risks of liability for demotion or for illegal content and for any data protection compliance. Also the risk related to CD-ROM network, like maximum access, full text download, network license etc. are to be considered.

Migration

The following three major categories of risk must to measure when considering migration as digital strategy.

Risks associated with the general collection. These risks include the presence or absence of institutional support, funding, system hardware and software, and the staff to manage the archive. These are essential components of a digital archive. The collection and the users who use the collection will be affected to some degree by a migration of data. Legal and policy issues associated with digital information will introduce additional risks.

Risks associated with the data file format. These include the internal structural elements of the file that are subject to modification.

Risks associated with a file format conversion process. The conversion software may or may not produce the intended result; conversion errors may be gross or subtle.

Scholarly Communication
Publishing

Scholarly communication actually encompasses the totality of what accurse between the creation and consumption of a scholarly work. The risks to it and the information marketplace begin at the point at which it is documented and are related to who sells scholarly content, who buys it, and how these transactions are accomplished. Richard Fyffe (4) notes that librarians must inform the members of their academic communities about this risk, if they are to participate in the reform of the scholarly communication process and maintain their credibility and integrity. Risk and technological changes are inexorably linked, and libraries as experts, must communicate these risks to lay persons and develop appropriate risk management strategies like:

Encourage and enforce sound scholarly citation and documentation practices

Promote competition among publishers and alternative access to locally produced content

Cancel individual titles available through aggregated databases judiciously

Become more assertive as negotiators and as customers. Be willing to say "no" when a contract or license in not satisfactory

E- Journals

The content removal by e-journal publishers is copyright-related, which is one of the risks to the libraries by not providing the content without any interruption. Publishers do not have the rights to republish electronically the content they originally published in paper. Less frequently, publishers remove content in response the research error, plagiarism, and fraud. This practice is contrary to traditional scholarly communication practice and it violates the library's commitment to preserve the historical record with all its flaws. Disaggregation, or

the removal of content from an aggregated database by its creator or owner, accurse for a variety of reasons often economic but sometimes philosophical in nature. This can transform an aggregated database from a key, to a marginal, resource and, since libraries are rarely compensated for content removal, it can also pose financial challenges. If the lost content is an important resource for its users the library may have to presubscribe to it from another, generally from more expensive source.

Royalty to Authors, Publishers and Others

The payment to authors, publishers and others who participate in scholarly publishing is trivial, due to the policy changes in distribution of honorarium and other mode of payments.

Consortia

Big Deals

Libraries pursue "Big Deals" i.e license agreements in which access is gained to all of publisher's output for a price based on current subscriptions they acquire more content for less money in the short run, but they risk weakening "the power of librarians and consumers to influence scholarly communication systems in the future" it is worth nothing that the pursuit of more information or more publications for less money takes place in most consortia purchases, many of which would not necessarily be considered "Big Deals." Yet these, too, pose risks to scholarly communication.

License Agreements

Publishers and content providers often require libraries to sign agreements that restrict the libraries ability to use their products for interlibrary loan, as well as the libraries rights to preserve and archive parts of them. Further, by using digital rights managements systems, they enforce use restrictions, such as on copying and downloading, which are more stringent than those that copyright law would impose. Also they create digital fences that enclose not only their works but also large portions of the public domain.

Co-ordination

Risk involved con-coordinating with local, national and international organizations for forming the consortia are for the material to be procured/accessed, each country has a different policy for acquiring/accessing to the different types of content and agreements would be a risk, if there is a change in future policy decision by the Government and also in continuing the membership.

Publisher And Vendor Mergers

The librarian is serious and concern about the ownership of content. Publishers suddenly raise prices due to inflation and thereby threaten one of the profession's core values, equal access to information. They can also affect the usability of digital content due to changes in the interface through which acquired content is accessed and or the way acquired and existing content are merged or juxtaposed.

Preservation

Preservation of information in all formats in increasingly an emphasis and allow for ongoing use. It should evolve as a distributed system by interacting with large national coordinating organizations; preservation guidelines should follow the data processing and filtering at all levels. The lack of any long-term technical solution to the problem of digital preservation limits to the efficacy of critical problems with substantial new investments, with allocating new responsibilities and assessing costs for a nonexistent process is one of the risks to the librarians.

Staff Training and Recruitment

The Staff who are already working are to be retrained to update their knowledge and may have to recruit new entrants with better higher qualifications. The risk involved here is the willingness to attend the training and risk of taking new staff, by thinking that they will be better than the existing ones.

Use of Technology

For accessing the organization, the proper use of website, by having sufficient connectivity and systems is one of the risks. People may have different type of system, and if there is a change in software and formats for access, download there is a risk. The type of users also suddenly changes, in case the organization introduces new courses, the need for updating or modifying the content on the website is one of the risks.

The Collection Theft, Mutilation or Accidental Loss.

All libraries of the world are facing these very and major risks in the shape of collection theft, mutilation and some accident loss i.e. fire, rain or storm effect the material, shelves collapse due to earth quake etc.

To prevent the libraries from these common and major risks strict and proper measure must be taken. There should be proper security system used, fixed cameras every where in the library, some staff members should be deputed to properly serve the users and for security measures too, so library collection can be safe from theft and mutilation.

Building structure
Behavior
Authority's co-operation
Required environment
Provision of facilities
Rules and regulations
Financial aspects
Risk of disasters and for handling them when they do occur, and the implementation of such plans. Disaster management usually refers to the management of natural catastrophes such as fire, flooding, or earthquakes.

Written Statements

Disaster plan means a set of written procedure prepared by a committee. The committee consists on library staff from every department, administration authorities, finance department, and security department to deal with an unexpected occurrence that has the potential to cause injury to personnel or damage to equipment, collection and facilities.

Fire Extinguishers
There must be arranging appropriate fire extinguishers at the main points places of the library.

Emergency Evacuation
Installing emergency evacuation route sings for study rooms and other concerned departments of the library.

Hang Tags
Library should provide hang tags for evacuation procedures.

Plastic Sheet Covers
There should be purchased quality plastic sheet covers for library equipments and other materials (recommended 4mm thick) to protect from dust, water and humidity.

Security Alarm System
There must be set in the library smoke alarm system to automatically aware the library staff and call monitoring agency, especially during fire and at night, weekends.

Humidity Gouges

In the library there should be use the thermometers and humidity gauges, so, print and non print material can be protected.

Emergency Lights

The proper lighting system is necessary for any library and there must be some emergency lighting system for power failure and any other problem. The emergency lighting system and security alarms must be tasted every month to see if they are in food working condition.

Staff Training

Staff training is very necessary part of any organization; similarly libraries must focus on staff training, particularly in terms of disaster managements.

Shop-VAC

It will be very useful if there is shop-vac available for water removal.

Dehumidifiers

There should be fixed some Dehumidifiers in the library to protect the library collection and equipments from humidity.

Theft And Vandalism

The following measures should be taken against theft and vandalism in the library;

Install cameras and other detective devices.

Remain calm and do not confront the perpetrator.

Alert staff member on duty to keep a check on the violator.

Get a good description in case the perpetrator leaves before security staff arrives.

Ask user politely to stop the criminal activities. If user won't stop them call the security immediately.

Emergency Services

The public emergency services available as under, which could be approached for help during a disaster. (8)

Police

Call Rescue 15

Call Rescue 1122

Fire Bridge

Ambulance service

Disaster management Authority

Bomb Disaster squad

Blood Bank etc

Conclusion

Disaster recovering is an important an organization, especially when projects encompass larger systems and involve institutional integrity. Disaster recovery plans will prove a library, university or college time and money. The benefits will repay themselves in manifold manner, good current literature and further resources regarding disaster planning for libraries will be beneficial.

Author researched about the disaster management plan for the central library of international Islamic university, Islamabad.

Summary of Study:

Central Library aims to develop the collection according to the needs and demands of the students, faculty members and research scholars. Library always uses proactive approach of fulfill the needs of its users. In 2010-11, 5788 bookds were added to the library. In 2011-12, 2800 books, and from June 2012 to March 2013, 866 books were added. Now the total collection in 214038. It includes the books donated to Library by different

persons/organizations.

International Islamic University provides a good environment for research and facilities its research scholars in all aspects. The number of these and dissertations added to the Central Library's collection from 2009 to 19 March 2013 is 5734. Among these theses, about 4545 theses have been digitized with bibliographic information and 2500 are available in full text form. Indexing is a regularly updated print periodical publication that lists articles, books, and/or other information items, usually within a particular discipline. About 400 journals is have been indexed for ready reference service for users. Central Library is also receiving 324 valuable periodicals/journals and 11 daily newspapers.

Executive Summary

The Central Library of International Islamic University is principal repository of knowledge, established since the birth of this university in 1980 to fulfill the information needs of its teachers, researchers and students.

This Library has a significant place in academia through out the Pakistan due to its rich collection on Islam and modern sciences.

At present Central Library is providing its services to more the 25,000 users from 9:00 a.m including Saturdays. Central Library provides services to male and female days whereas Tuesdays, Thursday and Saturday are male days. Limited Library services are offered to female members on male days through Research Rooms, which has a separate entrance, and vice versa.

Current Situation:

There has not been any specific marketing plan in operation at the Central Library since 2006, except some efforts have been made at the end 2006. The items and equipments present at this time were taking as special demand without any market plan in 2006. It is necessary to take certain equipments in deal the disasters through a proper plan. The new technology also requires replacing the existing items with new ones for effective usage in disasters.

Analysis by S.W.O.T

Internal factors:

SWOT analysis (alternatively SWOT Matrix) is a structured planning method used to evaluate the strengths, Weaknesses, opportunities, and Threats involved in a project.

SWOT Analysis is observed, to get the most recent view:

Strengths: Characteristics of the project that give an advantage over others

Library equipped with useful resources it has Dynamic Environment Excellent physical facilities, building and study section.

Well educated staff

Weaknesses: Characteristics that place the team at a disadvantage relative to others

No prevention forms Disaster because prevention tools are installs without proper planning i.e. fire, Anti-Electric short circuit devices etc

Untrained staff

Threats: elements in the environment that could cause trouble for the project

Due to uncertain condition at the upper level administration.

Technology equipments many have be imported and it may take time.

Opportunities: elements that the project could exploit to its advantage

Availability of budget, no issue with the finance, staff available, few of them have obtained civil defense training

External Analysis:

The following are a list of trends that may influence the library today and in the future as well. Monitoring the political, economical, social technological influences of a library

should be done on a continuous basis. Trends knowledge will help in better strategic planning and decision-making.

PEST Analysis

Political, Economic, social and Technological analysis describe a framework of macro-environmental factors used in the environmental scanning component of strategic management.

Political Factors: It includes political factors is basically to what degree the government intervenes in the economy.

There are no political factors that can create peril to this marketing plan.

Economic factors: It includes economical growth, interest rates, exchange rates and the inflation rates.

Central Library has plenty of budgets to support this marketing plan.

Social Cultural Factors: It includes the cultural aspects, health consciousness, population growth rates, age distribution, career attitudes and emphasis on safety.

There are no social factors that can threaten Disaster Management plan, rather the plan will be appreciated and encouraged as it has cultural effects too on the surroundings.

Technological Factors: It includes technological aspects such as R&D activity, automation technology incentives and the rate of technology changes.

Libraries at national international levels are adopting innovative and huge technologies for improvement in the areas of Disaster Management.

Goals & Objectives:

To improve the current disaster management plan

To develop Disaster Management plan and strategy

For awareness, arranging orientations on Disaster Management also training and education in case of emergency for faculty, staff, students and researchers.

To protect library users from natural and man made disasters

To give trainings to the library staff in tackling the disasters will be proposed

Contents for The Product:

Main supply cutouts, circuit breakers and related equipments, and Ducts, Helmet, fire Alarm system, Gas Detection, Fire Extinguisher, Berthing appliances, Closed-circuit television camera, fire gears and gadgets, safety showers, safety footwear.

Promotion Madia:

IIUI Library will use following media for the promotion of product:

Importance of Disaster Management tools introduction on Broachers to be distribution after orientation sessions.

Posting messages at Web 2.0 "Library blog, library face book, twitter and Linkedln" regarding location of safe exits from the library in case of emergency from the Central Library.

Orientation sessions which are already providing services of information literacy, may also include two to three slides on Disaster Management introduction and steps to prevent it.

Process:

An orientation will be provided to Library staff to create awareness of new product "Disaster Management". Library will continue conducting training sessions for staff regularly. This process will able the staff for the ability to fight in disastrous situations. It is to say that while orientations and training sessions, library staff must feel comfort and experience it, as a part of their job.

Physical Environment:

Library as a place it should be welcoming, tidy, modern, well designed, centrally located and preferably purpose built. The physical environment is itself a tool through which

the library can market itself. All the equipments should be placed to suitable and accessible locations.

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APPLYING TEM MODEL (TEACHING EVALUATION MODEL) IN AN ACADEMIC COURSE IN ACCOUNTING: A COMPARISON ACROSS FIVE YEARS.

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Abstract

The research is focused on the performance analysis of students attending an academic course in accounting across five years. The teacher adopted the new methodology so called TEM (Teaching Evaluation Model). In particular, the Teaching Evaluation Model (TEM) is a "work model" used by the professor whit the aim to continuously improve the academic teaching activity through a continuously valuation process of the students and of the teacher itself. The TEM model represents, in summary, a systemic approach to the teaching activity, based on the Deming Cycle (Plan, Do, Check, Act). The scope of the current research is to test the efficacy of the TEM model applied during an academic course in accounting across different years

Keywords: Teaching Quality, Self–evaluation, Continuous Improvement, Deming Cycle

Introduction

The aim of the work is the constant searching for "quality of education".

In this sense, the Deming Cycle (PDCA), represented the most significant methodological choice. In particular, TEM[35], retraces the cycle Plan, Do, Check, Act of Deming, through a system of schemes of design/ management, didactical evaluation/self-evaluation, aimed at analyzing and improving every single lesson. The teacher after having planned his own educational intervention (Plan) realizes the lesson (Do) and at the end of the same administered to learners an evaluation questionnaire (objective test - Check 1).

The obtained results allow the teacher to identify possible problems, seek the causes which generate them through a self-assessment questionnaire (Check 2) and define the corrective actions to be implemented already in the next lesson (Act). The cycle is repeated in all the lessons of the course offering to the teacher the opportunity to assess the level of learning of each student and the class as a whole (homogeneity - heterogeneity) - acting consequently in order to improve the educational activity. The TEM model, in this sense, allows the teacher to standardize "the good practices" to constantly improve all processes and try the path of innovation, building and maintaining a wealth of formalized experiences which, therefore, can be estimated, compared and improved. The work is divided into multiple phases, the first aspect analyzed concerns the analysis of the international literature, with reference to issues related to the evaluation of the teacher as a function of didactical self-evaluation and in view of the quality of teaching.

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[35] Verna I., Il ciclo di Deming nella didattica universitaria Il Teaching Evaluation Model (TEM), Aracne Editrice, Roma, 2012.

After that it is briefly described the TEM model and its main characteristics. The work is focused on the analysis of the results which have been generated, in term of learning, by a teacher in an accounting course using the TEM methodology in four different years. In detail it has been performed a double analysis. The aim of the first one is to compare the results generated by the same professor but in two different years, with and without the usage of the TEM model. The scope of the second analysis is to verify the efficacy of the TEM model across different years. At this scope it have been compared the assessment of the students (intermediate and final exams) across four different years (2010-2013) during which the same professor used the TEM methodology.

Theorical background and supporting literature

The quality of the teaching processes is the result of a constant commitment of the teacher in the analysis of the didactical processes carried out (Shoulders C.D., and Hicks S.A., 2008), in their improvement that begins "by listening" to the learners - of their skills, ability and motivation to learn - and consolidates in the experience gained through the constant pursuit of an effective model of teaching (Angelo and Cross 1993).

The proposed model (TEM) is part of a consolidated context of studies, of northern European tradition (Entwistle and Ramsden 1983; Marton and Salio 1976), revived by Australian researchers (Prosser, Ramsden, Trigwell and Martin 2003) which considers teaching and learning in a close connection (Trigwell and Martin 2003). In particular, the TEM rises as a proposal of a personal "method-tool" , of the teacher (but sharable and comparable among different subjects), useful for the purpose of the reflection, research and improvement of the teaching activities developed and to develop.

The aim of the model is the constant improvement of the quality of teaching through a tool which reduces the gap between the "real model" of teaching applied by each teacher - in the context of place and time in which he shows his professionalism - and the ideal - the most effective – (Pozo-Munoz, Rebelloso-Pacheco and Fernandez-Rammirez 2000) feasible in that precise context.

As noted by some authors (Samuelovicz and Bain 1992; Trigwell et all. 1994), the research effort should be directed to "inform" especially those who teach on the prospects and possibilities of teaching which are feasible.

The international literature is full of studies focusing on the opportunities resulting from a self-rating process of the teacher (Kyriakides and Campell 2004; MacBeath 1999; Nevo 1995; Petegem 2005). Some authors underline the importance of self-evaluation in the process of training and professional growth of the teacher (Airasian and Gullickson 1997; Stronge and Ostrander 1997). For the purposes of self-assessment - in particular about the distinction between self-evaluation carried out according to the experience of the course, then personal and the institutional instead of instead linked to the faculty and to the qualitative change - some authors consider as related the two purposes (Arreola 2000), others see in the first one the premise to the second one (Selding 1999). The TEM model is closer to this latter trend of thought, as noted, in fact, self-evaluation (in the context of the TEM model) represents primarily a personal tool for reflection and research just related to the experience of the course in order to reach the improvement of the quality of teaching (Kane, Sandrotto and Heath 2004).

It has to be noted, at the same time, the usefulness of the achieved results also for institutional purposes, as a promoter of qualitative change in universities. In this sense, the Australian universities show a great deal of attention to the issue of teaching evaluation, as the attention to the students and their learning, so to their full satisfaction, coincides with the concept of evaluation itself. It should be noted in particular how, the evaluation processes of teaching based on learners, are accompanied by subsequent self- evaluation processes of the teacher, created primarily through the use of the teaching portfolio.

Even in the Asian context, in the American and the Canadian, the attention on learning generated in learners, hence on the quality of teaching is in the foreground. In particular, innovation, in teaching and in learning processes, is promoted and incentive procedures are claimed to do so. A nearly identical situation for Europe (Great Britain in particular) which focuses on the dissemination of those successful practices (good practices) in teaching in order to raise the quality level of the education offer in the universities. Thus although if it is reached a broad discussion on the topic of self- evaluation (Lyhns 1998; Selding 1999; Zubizarreta 1999), very limited appears instead the international literature on the evaluation of the teacher on the basis of didactical self- evaluation and in view of teaching quality. The TEM model is placed in this particular area of research. Far from being an exhaustive and unlimited answer, the proposed model offers to the teacher the chance to observe and evaluate his own learning path through the lens of quality with a view to continuous improvement.

Il modello TEM

Il modello TEM è rappresentato in forma sintetica nella figura n.1.

Fig.n.1 "The TEM model" [36]
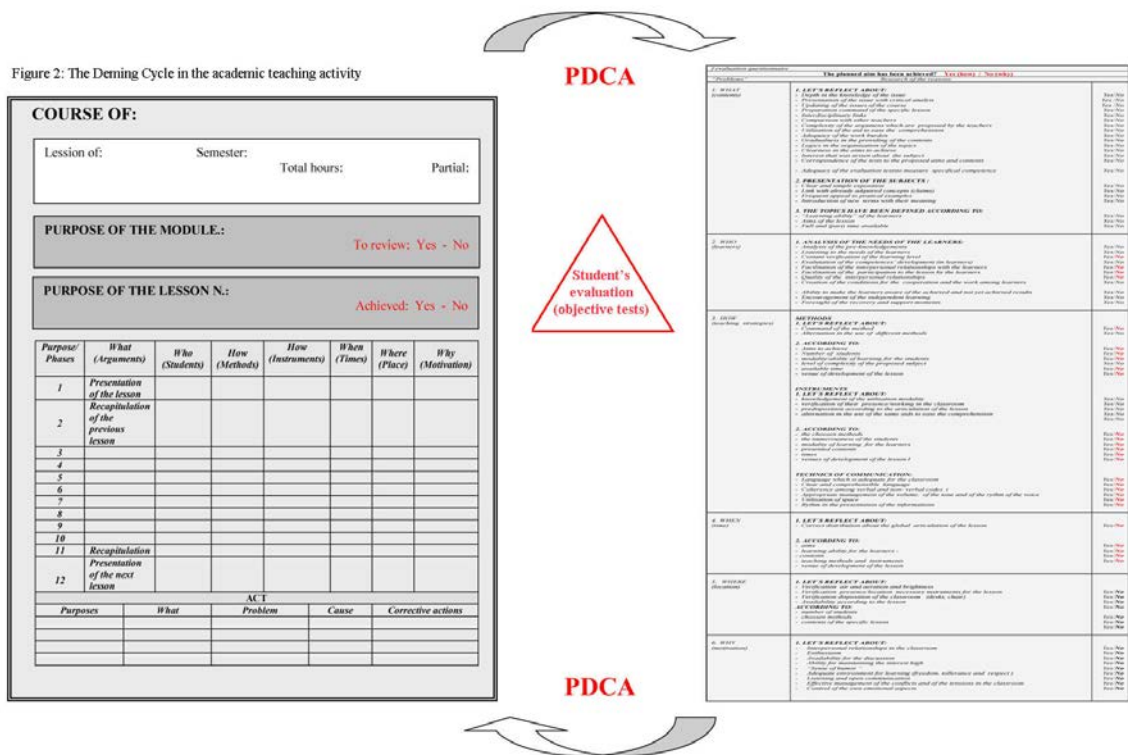
Quality, as suggested by Rolls Royce is "an attitude of mind," a choice that implies a profound cultural transformation (Galgano 1996). Choosing quality means embracing a philosophy of action that locates its roots on a systemic approach, dynamic, aimed at constant improvement. In this sense, TEM model gives the teacher the opportunity to "rethink and interpret" the teaching activities at each educational intervention significantly renewing the stock of knowledge and skills that distinguishes each teacher. In this sense, whatever the initial approach of the teacher is in terms of style, method and teaching ability, the taken direction is the same: the continuous improvement of the teaching quality - a teaching model which is "ideal" to the specific context of time and place in which it operates. It is not

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[36] Referred to: Verna I., Lucianetti L., Paper accepted at the International Conference ISF, "*International Scientific Forum*, Tirana, Albania, 12-14 December 2013.

therefore important the model or style of teaching prior to the application of TEM model, whatever it is, the main aspect is the way to be crossed through the application of the model in time. If, therefore, the quality can represent a strategic opportunity for education, the Deming Cycle (Plan, Do Check, Act) marks the way to follow in this direction.

The object of the observation, then, is the university course, the unit of analysis is the lesson in the classroom. The subjects which are involved in the improvement process are both teachers and learners. In particular, the teacher, central character of the process of learners' assessment and self-assessment, is the "beating heart" of the TEM model. It is recognized, summarizing, the key role played by the teacher in the didactical process and it is believed that the experience and the competence which characterize him can represent a privileged "point of view" of the (didactical) reality in its evolution. In this sense, TEM model offers the opportunity to the teacher of "an acting" which tends to the effectiveness of each educational intervention - in terms of "the ability to identify the real needs of the customer" - and the efficiency of the taken actions – as constant improvement of the implemented processes. The learner is the "center" around which the Deming Cycle (TEM model) is developed, because his skills, abilities, motivations to learn are the ones which represent the horizon of them improvement. It is on this basis that it was decided to develop a model that could serve as an incentive and motivation to the continuous improvement not only of the university teaching as "a result of a process", but of the process itself, therefore, of the growth and of the personal and professional development of the individual (teacher-student). TEM model consists of a system of schemes of design, management, evaluation, self-evaluation that produces, over time, the PDCA cycle. Figure n. 1 represents a synthesis of the process described below.

The TEM model allows the teacher to plan his own educational intervention, the implementation of what was planned, the evaluation, in terms of learning generated from the produced results and the address of the next lesson toward to overcoming of the detected problems (improvement, innovation). The planning phase is one in which the teacher sets - with constant reference to the learning characters of the learners - the aims of each intervention and the more appropriate teaching strategies. The scheme presents three main sections: the just mentioned one, that is, related then to the definition of the aims, a second one, which is divided in stages, the presentation of the lesson and the last one that repeats the second part of the scheme, in terms of reviewing and correction of the performed actions (Stage Act), which is analyzed later in the discussion. The same aims will be a key reference in the phase Check 1 in order to verify the learning level of the learners. The reference to the hierarchy of objectives of Bloom allows an easy verification of the purposes of the lesson in the verification tests which are administered at the end of the teaching intervention. The result of the test will allow to define the achievement of objectives themselves and the terms of the design of the next lesson. The second section of the design scheme shows the articulation of the aims of the lesson related to: arguments (what), time (when), methods and tools (how), learning motivation (why) venue of performance of the lesson (where) and especially to the learners (generated level of learning) - (Who).

The next step (Do), is expressed during the lesson in the classroom according to the design scheme. Although the design phase is a basic moment for the effectiveness of the teaching intervention, the implementation timing is not strictly bound to a default scheme. The reference must always be the learner and his "reactions", in terms of learning, to the stimulations of the teacher. The planning scheme represents a general reference, "a pattern guide" made up for "the satisfaction of the needs of the customer" through "the best combination of actual variables. The feedback that the teacher receives from every educational intervention allows him to review already in the meantime (though not in a general way) the impact of the chosen teaching strategies choices and to adopt the required modifications to the general scheme if necessary. The next evaluation stage (check) will

complete the reference framework of the teacher in terms of generated learning. At this point the teacher can evaluate the global results of the teaching activity which has been just delivered, identify the encountered problems and activate the most appropriate actions in order to overcome these problems (improvement).

The heart of the model is constituted by the phase Check. In each educational intervention, the teacher performs the Check phase (1) through objective tests which allow the identification of possible "problems" related to the process of teaching- learning. In particular, at the end of every teaching intervention, the teacher administered a questionnaire to the students (objective tests) of a few items based on the general and partial purposes which are defined in the design scheme. The aim is to assess the learning level that is generated in the learners individually and as a whole (total number of students). This phase, Check 1, gives the startup to the next research activity about the causes of any emerged "problems" (Check 2). In particular, the collected information (as the results which are derived from the evaluation of learners), offers the teacher the opportunity to "reflect" about the achieved results, through the aid of a self-rating questionnaire (Picture n. 2).

This latter directs the teacher in identifying the causes of the possible "problems" which are identified in the assessment phase and in the definition of corrective actions to be implemented.

Fig. n. 2 Self-evaluation questionnaire[37]

Self-evaluation questionnaire		
The planned aim has been achieved? Yes (how) / No (why)		
"Problems"	Research of the reasons	
WHAT (contents)	1. LET'S REFLECT ABOUT:	
	Depth in the knowledge of the issue	Yes/No
	Presentation of the issue with critical analysis	Yes /No
	Updating of the issues of the course	Yes /No
	Preparation command of the specific lesson	Yes/No
	Interdisciplinary links	Yes/No
	Comparison with other teachers	Yes/No
	Complexity of the argument which are proposed by the teachers	Yes/No
	Utilization of the aid to ease the comprehension	Yes/No
	Adequacy of the work burden	Yes/No
	Gradualness in the providing of the contents	Yes/No
	Logics in the organization of the topics	Yes/No
	Clearness in the aims to achieve	Yes/No
	Interest that was arisen about the subject	Yes/No
	Correspondence of the tests to the proposed aims and contents	Yes/No
	Adequacy of the evaluation tests to measure specific competence	Yes/No
	2. PRESENTATION OF THE SUBJECTS :	
	Clear and simple exposition	Yes/No
	Link with already acquired concepts (claims)	Yes/No
	Frequent appeal to practical examples	Yes/No
	Introduction of new terms with their meaning	Yes/No
	3. THE TOPICS HAVE BEEN DEFINED ACCORDING TO:	
	"Learning ability" of the learners	Yes/No
	Aims of the lesson	Yes/No
	Full and (part) time available	Yes/No

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[37] Referred to: Verna I., Lucianetti L., Paper accepted at the International Conference ISF, "*International Scientific Forum*, Tirana, Albania, 12-14 December 2013.

WHO (learners)	1. ANALYSIS OF THE NEEDS OF THE LEARNERS:	
	Analysis of the pre-knowledge	Yes/No
	Listening to the needs of the learners	Yes/No
	Constant verification of the learning level	Yes/No
	Evaluation of the competences' development (in learners)	Yes/No
	Facilitation of the interpersonal relationships with the learners	Yes/No
	Facilitation of the participation to the lesson by the learners	Yes/No
	Quality of the interpersonal relationships	Yes/No
	Creation of the conditions for the cooperation and the work among learners	Yes/No
	Ability to make the learners aware of the achieved and not yet achieved results	Yes/No
	Encouragement of the independent learning	Yes/No
	Foresight of the recovery and support moments	Yes/No
HOW (teaching strategies)	METHODS 1. LET'S REFLECT ABOUT:	
	Command of the method	Yes/No
	Alternation in the use of different methods	Yes/No
	2. ACCORDING TO:	
	Aims to achieve	Yes/No
	Number of students	Yes/No
	modality/ability of learning for the students	Yes/No
	level of complexity of the proposed subject	Yes/No
	available time	Yes/No
	venue of development of the lesson	Yes/No
	INSTRUMENTS 1. LET´S REFLECT ABOUT:	
	knowledge of the utilization modality	Yes/No
	verification of their presence/working in the classroom	Yes/No
	predisposition according to the articulation of the lesson	Yes/No
	alternation in the use of the same aids to ease the comprehension	Yes/No
		Yes/No
	2. ACCORDING TO:	
	the chosen methods	Yes/No
	the numerousness of the students	Yes/No
	modality of learning for the learners	Yes/No
	presented contents	Yes/No
	times	Yes/No
	venues of development of the lesson l	Yes/No
	TECHNICS OF COMMUNICATION:	
	- Language which is adequate for the classroom	Yes/No
	- Clear and comprehensible language	Yes/No
	- Coherence among verbal and non- verbal codes t	Yes/No
	- Appropriate management of the volume, of the tone and of the rhythm of the voice	Yes/No Yes/No
	- Utilization of space	Yes/No
	- Rhythm in the presentation of the information	
WHEN	1. LET´S REFLECT ABOUT:	

(time)	- Correct distribution about the global articulation of the lesson 2. ACCORDING TO: - aims - learning ability for the learners - - contents - teaching methods and instruments - venue of development of the lesson	Yes/No Yes/No Yes/No Yes/No Yes/No
WHERE (location)	1. LET´S REFLECT ABOUT: - Verification air and aeration and brightness - Verification presence/location necessary instruments for the lesson - Verification disposition of the classroom (desks, chair) - Availability according to the lesson ACCORDING TO: - number of students - chosen methods - contents of the specific lesson	 Yes/No Yes/No Yes/No Yes/No Yes/No Yes/No
WHY (motivation)	1. LET´S REFLECT ABOUT: - Interpersonal relationships in the classroom - Enthusiasm - Availability for the discussion - Ability for maintaining the interest high - "Sense of humour " - Adequate environment for learning (freedom, tolerance and respect) - Listening and open communication - Effective management of the conflicts and of the tensions in the classroom - Control of the own emotional aspects	Yes/No Yes/No Yes/No Yes/No Yes/No Yes/No Yes/No Yes/No Yes/No

The self-assessment questionnaire is structured on the basis of the mentioned studies, but it is "modeled" on the experience that is gained by the single teachers, through the constant use of the time instrument, in their context - and by the comparison with the colleagues. Ultimately, it is a tool that fits the reference context according to the results which are achieved by the teachers, in terms of the learning level that is generated among the learners. It is tool that stimulates the personal and collegial research for always increasing professional levels.

In the international literature the usage of reflective and self-evaluating approaches with the aim to enhance the quality of the academic teaching activity is even more expected[38].

Various researchers have examined this issue, some of them by offering some references which have to be considered by the teacher in the process of self-evaluation (Heywood 2000; Kremer-Hayon 1993; Selding 1999). The questionnaire suggested in the TEM model, differs from the others mainly due to the contextual and dynamic aspect that characterizes it, so because of the peculiarity to be adapted to the "time and place" of progress of the teaching activity.

As noted, the questionnaire involves the teacher in reflective and self- evaluation processes referred to the just ended class, in order to inform him about the possible reasons of

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[38] R. Kane, S. Sandrotto, C. Heath, *An investigation into excellent tertiary teaching: Emphasising reflective practice*, Higher Education, 2004, 47(3), pp.283-310.

the "mistakes" which have appeared in the didactical process. In addition, this tool allows guiding the improvement process, through the design of the educational interventions (corrective action) to be implemented right after (next lesson).

The phase Act (the ending part of the plan scheme represented in picture n.1) is represented by an additional component to the scheme Plan, which simply repeats the second part of the latter. In this case the teacher "calls back" the phases (or the phase) which have shown "problems", briefly identifying the causes which generated them and finally defining the corrective actions that he will be implement already in the next lesson (phase ACT). In particular, the Act phase, on the basis of the evidences which are supplied by the evaluation and self-evaluation process, nourishes and sustains the path of the teacher on the path of improvement.

Phase Act does not represent a final and conclusive solution regarding the problems which have emerged in the Check Phase. You need to consider this time as an experimental phase that tends to the solution of the problem, but from which not always the effect you want derives. The teacher acts according to its wealth of experience and competences that is limited to the conditions of place and time in which it operates. In this context, he must look for increasing levels of quality of education through continuous improvement and innovation. At this stage, the watchword is, therefore, always trying new teaching strategies which can represent an effective way to the improvement. Therefore, it is necessary to standardize always those "practices" which have determined a positive effect in terms of the solution to the encountered problems (effective learning) and try the innovation. The standardization is not a point of arrival, but an intermediate step toward a constant quest for quality. Pursuing increasing levels of quality in the implemented processes drives to innovation. Ultimately, the teacher is made aware of the characteristics and limitations of the processes in progress, therefore, of the opportunities for the personal and professional growth which they can pose.

Research method and results

The efficacy of the TEM model has been tested through two different analyses. Initially have been compared the performances of the students attending an accounting course, during which it has been used the TEM model, with the ones of different students attending the same course, but in the previous year when the model has been not used.

After that, it have been compared the performances of the students of the following three years when the same professor continued to use the TEM model. The aim was to test the performance increase of the students, if any, across different years.

In both analyses the evaluation has been done through the T-test.

Referring the first type of analysis (picture n.1) we intend to clarify that it have been compared the intermediate exams (which took place at the end of each of three different modules of the same course) and the final ones of the students who attended the course – both referring the year 2010: 100 over 102 (TEM model) both referring the students of the previous year 2009: 94 over 98 (no TEM Model). It has been not considered the students who withdraw the course

Picture n.1 Valuation of the student's performance – with and without the usage of the TEM model.

Indicator	Students Accounting course - I year 2009 Intermediate exam	Students Accounting course - I year 2009 Final exam	Accounting students – II year 2010 Intermediate exam	Accounting students – II year 2010 Final exam
Observations	98	94	102	100
Positive score rate	54	64	66	79
Mean	21,3	22,1	22,8	24,7
Variance	4.8	3.2	3.6	2.7
T-statistic	2.35			
One–tailed p-value	0.0122			

It has been submitted to the students of both courses objective tests during and at the end of each course and it has been decided in advance the score to be assigned to each item of the test. In particular, the tests of the two final exams included the same exercises with the only difference of a set of questions – very similar to the others but not equal (5%) - which still were focused on the same topics. Nobody of the "TEM students" saw the final exams of the previous year – they have been not given back to the students – and nobody know that it should have been submitted the same final exam. This allowed to get an easier and more meaningful comparison to test the following hypotheses:

The group of the students to whom it has been used the TEM model did not get a positive score in the intermediate exams compared to the group of students of the previous year (during the one the TEM model has been not used);

The group of the students to whom it has been used the TEM model did not get an higher average score compared to the one got by the students of the previous year when making the intermediate exams;

The group of the students to whom it has been used the TEM did not get a positive score in the final exam compared to the group of students of the previous year;

The group of the students to whom it has been used the TEM model did not get an higher average score compared to the one got by the students of the previous year when making the final exams;

To test the first hypothesis it has been compared the scores of the intermediate exams done by 98 students during the year 2009 (no TEM model) with the ones of 102 students of year 2010 (TEM model). From the comparison it results that the percentage of the positive scores of the students of year 2010 is higher (66) than the one of the students of the previous year (54). Therefore we can clearly establish that the first hypothesis is false. In particular we want to highlight that the efficacy of the TEM model is due to the fact that it is a model very focused on the students both at the individual level than at classroom level. Definitively, the TEM methodology allows the professor to verify on a permanent basis (at the end of each and/or more lessons) the level of the understanding of the students and put in place immediate corrective actions (Act phase) both at individual level and collective one. Just making an example we would highlight that the most efficacy corrective actions have been realized through very small workgroups to whom it have been assigned exercises related to the objectives not achieved together with role playing at the individual and collective level to increase the motivational level. Consistent improvements took place in a very short time (few lessons). These achievements are part of a continuous improvement process which leads each lesson ongoing towards increasing levels of understanding.

To test the second hypothesis it have been compared the scores of the intermediate exams of the 98 students of the year 2009 with the ones of the 102 students of the year 2010

(TEM model). From the comparison it results that in average the students TEM model got scores higher (22,8) than the ones of the previous year (21,3). Additionally we would highlight that the variance and/or standard deviation in the year 2010 is lower compared to previous year (ref. picture. 1). Therefore also in this case we could state that the Hypothesis n. 2 is false. The variance allows us to highlight what described above. In particular the Deming Cycle, on which the TEM model is based on, forces the professor to assess on a permanent basis the understanding of the students together with a self-assessment (to look for causes of potential problems) and the definition of the corrective actions to implement in the following lessons (to the one that shows the problems. This is the right approach that allows the professor to test new teaching strategies with the aim to enhance the level of understanding of the whole classroom. The corrective actions can be immediately tested in the same lesson during which they have been implemented thanks to the new phase so called "check".

In the course where it has been adopted the TEM model (2010), as already highlighted before, it have been used teaching strategies which follow problems came up during the previous lessons. The PDCA methodology, on which the TEM model is based on, allowed to focus on the student, both as individual and as classroom, and on this direction work for a continuous improvement of the learning capabilities of each ones. It is the pursue of this goal, with an approach based on the quality, which determine a results even more homogeneous in term of learning, highlighted in this case by the variance.

To test the hypothesis n.3 have been compared the same years (2009 - 2010) with the following results: 94 (over 98) students of the year 2009, the positive score of the exams has been lower (64) compared to the scores got by 100 (over 102) students of the year 2010 (79). This analysis allows us to verify, also in this case, the hypothesis n. 3.

It is very useful to underline that the proposed methodology generate an enhancement not only in the professor in terms of better teaching activity but also in the student which become even more confident of the improvements he/she achieve during the time and more responsible of his/her learning. In the final exam this aspect becomes even more evident. The number of students which has past the final exam is higher in the TEM course due to involvement and additional stimulation they receive getting part to a course like this one.

At the end, concerning the hypothesis n. 4, it has been noticed that the average of the scores obtained by the same student of the year 2009 have been significantly lower (22,1) than the ones obtained by the students of the followed year (24,7). Additionally the analysis performed shows a variance in the year 2010 (TEM model) significantly lower than the one of the previous year (Picture 1).

In summary, picture n. 1, shows in the first column the parameters used to perform the analysis of the data related to scores registered from the intermediate and final exams of the accounting course. As can be noticed, the "mean" referred to the student in which the TEM model has been used is higher than the one where the model has been not used (P<0.05). The positive results obtained by the students of the TEM course are mainly due, as already mentioned, to the planning activity, control and continuous improvement which the model demands to the professor and which lead towards a constant reference to the learning process generated in the students across the years.

Results even more evident can be achieved across the years through a constant implementation of the model. The background of collected information, which are retained systematically thanks to the model, in addition to the increased experiences gained, allows the professor to make significantly improvements, as clearly shown in picture n. 2.

Picture n. 2 Performance assessment of the student across different years – the TEM model.

Indicator	Students Accounting course 2010	Students Accounting course 2011	Students Accounting course 2012	Students Accounting course 2013
Observations	100	111	104	107
Positive score rate	79	83	91	104
Mean	24.7	26,2	27,1	27,9
Variance	2.7	2.2	2,3	1.5
T-statistic	2.19			
One–tailed p-value	0.0118			

The picture shows the positive results got by the professor across the years applying the TEM model. In particular, if the increasing trend registered across the years highlights positive performances of the students, the variance allows us to test even more the reliability of the model used because it highlights a lower casualness of the scores got by each student. In detail the picture shows as the learning of the students increased constantly across the year getting to the highest level during the last year of the analysis (2013). The background of knowledge and experience which the accounting teacher gained across the time, thanks to the constant usage of the TEM model, has changed the teaching culture of the professor itself allowing him/her to act in a way even more efficacy and efficient. We noticed already how the model generates also in the students a great cultural change in term of increased confidence and responsibility concerning their own learning route, thanks to the continuous process of involvement, stimulation and motivation putted in place by the professor. The most important aspect we would to highlight from the last analysis performed is not only the constant increase of the learning across the time, but also the continuous improvements of the learning consistent of the whole classroom where the model was applied. The teaching strategies experimented and standardized by the teacher across the time (PDCA), have been improved and selected in relation to specific case, recurring individual and collective situations, defining a specific efficiency and efficacy of the teacher in adopting them (p-value 0,0118). In this case the teacher has been always the same, however we want to highlight how, not taking into consideration the specific teaching style which is typical and sometimes very different from people to people, the TEM model leads toward a depth cultural change of the same teacher generating consequently great and positive effects on the learning process.

Other possible causes for improved performance

Other potential cause of the student performance improvements may results to be not really linked to the usage of the TEM model explaining at the same time the results achieved. The most important cause could be that the students to whom the TEM model has been applied were "better performing students" compared with the average of the students of the year 2009 (no TEM model).

Another potential explanation of the really positive results gained by the students could be due to the subjectivity of the teacher during the assessment process.

Concerning the first potential cause we submitted to the students, at the begin of each course, a test having the aim to understand the knowledge of each people and from which a very interesting results came up. In particular during the year 2009 the level of knowledge was higher than the one of year 2010 (when the TEM model has been used). This clearly demonstrates that the positive results obtained by the students through the usage of the TEM model are not impacted by a potential higher performance capacity of each individual.

Concerning the potential influence of the subjectivity of the teacher and in order to avoid it has been submitted to the students objective tests, both at the intermediate and final stage, with pre-defined scores which allow different professors to get to the same assessment. At the end we want to clarify that the assessment of the intermediate exams has been performed by a different accounting professor.

Limitation suggestion and summary

It is not possible to observe a phenomenon as complex as the teaching one with the illusion of having grasped its entirety. The didactical action in its context and temporal constraints assume a dimension that is difficult to observe without the risk of analyzing a less extensive and complex phenomenon than the real one. Although the model allows to observe and evaluate the learning process with respect referring to several variables which condition it, it is difficult to "reduce" to a scheme, although dynamic, an articulated and complex system as the teaching one. The ability to observe and evaluate the teaching path itself, related to the achieved results (learning of learners) and to the way they were achieved (teaching strategies) - during and at the end of the route itself (comparison in time and space) - and to act for the purpose of the improvement can be a sufficient motivation for the "simplification of complexity."

The focus on the teacher, besides, although it represents a strategic point of view of the course in progress - for the mentioned several times reasons - affect the subjectivity of the evaluation process. By contrast the teaching evaluation that was made by the learners meets much more evident limits and is not free of subjectivity. Although the subjectivity is unavoidable, the comparison in time and space that the model allows compared with that what was expressed by the teacher himself and / or other teachers can be a valuable tool for reflection on possible not detected problems or not considered in the most appropriate way. A further aspect of critical issues in the use of the model is the risk of an initial involvement (by the teacher) and a subsequent abandonment that can arise as a result of constant effort that is required to the teacher in the design and evaluation of every educational intervention. Ultimately, what you ask the teacher is a "cultural revolution", a renewal in the way of thinking and managing the educational process that leads the teacher to "be questioned" in each lesson. This determines a consequent professional enrichment, which is decisive for an effective learning process. The utility in choosing this work methodology is also present at the time of a teaching replacement of the teacher. The model "draws" a compulsory path towards the improvement that ensures unity of direction and methodological approach to the course in progress.

Consider, also, how the background of knowledge and experiences which are formalized in comparable standard models is an archive of knowledge that is useful for the universities in order to understand more clearly the educational carried out activities, the produced results and the achieved improvements, so the quality level of the training offer.

At the end we may consider the TEM model as an opportunity for a single academic course, for a specific Department or for the whole University to strive for an increasing level of teaching quality released through the usage of a shared work methodology, mainly focused on the continuous improvement and knowledge sharing.

Looking to the future development of the current research we may disclose you that an additional study about the results generated by the usage of the TEM model in all courses of a Master degree program in accounting is currently in progress. The aim is to compare the performance of the students across three different years during when the TEM model has been used with the one of the previous years when the model was not applied.

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JORDANIAN TEACHERS' USE OF TAPES AND TAPE RECORDERS IN ENGLISH LESSONS OF THE LOW PRIMARY STAGE

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Abstract

This study aims at investigating the use of listening equipment- tapes and tape recorders- by Jordanian teachers of English at the low primary stage of the three main teaching sectors in Jordan (government, private, and UNRWA- United Nations for Relief and Works Agency). Ninety-nine teachers of English in the city of Irbid, Jordan responded to the two-part questionnaire of the study. The first consisted of 6 Yes / No questions about the availability and functionality of the equipment. The second has 16 items with five frequency responses about using the equipment and procedures of presenting the listening lessons as indicated by the textbook. The two parts of the questionnaire involve three variables; qualifications, gender, and school type. Results related to the qualification variable show no significant differences in equipment availability and use. The other two variables reflect significant differences for the female teachers of English over the male, and for the UNRWA and private teachers over the government regarding both of equipment availability and use.

Keywords: Listening skill, tape and tape recorder, Jordanian teachers of English

Introduction

Although research in the area of listening processes and strategies is interesting, it still remains the least understood and least researched of the four skills (Vandergrift, 2007). Apart from the direct listening and speaking skills practiced through dealing with the English lesson reading texts and related exercises and activities or the normal in class / out of class teacher – student talks, no proper application of the listening skill could be achieved without the use of equipment. The equipment this research talks about are tapes and tape recorders available at schools which teachers of English are to use according to what textbooks indicate with nearly every lesson, and instructions given in the teachers' guide books provided as an essential part of the curriculum. It has been noticed, as the researcher supervises English Class Teacher university students training at schools, that the teachers of English, whom the students train with, rarely use listening equipment or follow the proper steps to make the best use of them. Using tapes and tape recorders provides opportunities for students to hear a great deal of authentic native speech. Now at the press of a switch an abundance of such material is available, even in remote and isolated areas (Rivers, 1968). According to Alkhuli (2000) tapes are an aural aid that may be employed for more than one purpose. Tapes may be used to provide students with recorded samples of native speakers' pronunciation and intonation. They may also be used in grammar drills and in aural comprehension.

Statement of the Problem

Though learning English is an essential component of the school subjects for all school levels, i.e. grades one to twelve and even at the pre-school, many students see English an

enormous obstacle to overcome. "Teaching listening skills is one of the most difficult tasks for any ESL teacher. This is because successful listening skills are acquired over time and with lots of practice. It's frustrating for students because there are no rules as in grammar teaching" (Beare 2010). The problem initiates quite early at the lower levels when children are expected to be enthusiastic for learning a foreign language, i.e. English. Teachers of English would kindle this enthusiasm or extinguish it by employing the proper procedure or ignoring it partially or completely. Getting the students listen to the lessons recorded on a cassette recorded by native speakers of English as per the curriculum is a prominent element in the early levels of school grades. Authorities, concerned about the teaching of English at schools, work hard to ensure the provision of the material required for teaching English, including the tapes with the lessons recorded on them. Therefore, the solution remains with the teachers to collect the tapes and make available the tape recorders with the help of school administrations, and more importantly to use them properly as indicated in teachers' guides and students' textbooks. Unfortunately, it has been noticed that many teachers walk into classrooms without the tape recorders, do not even have the tapes of the levels they teach, or the tapes are not available at the school or cannot be used because of technical problems. Very surprising, tapes and tape recorders are often available, but teachers of English do not bother using or even asking for them. Investigating the issue from the perspective of the three independent variables, i.e. teachers' qualification, gender, and school type would provide an idea about the availability of listening equipment, their service facilities, and their proper use for a good English class.

Review of Literature

Investigating the educational literature of this study, it was found that most of it focuses on listening comprehension and listening skills teaching and learning. In fact this study is interested in the equipment (tapes and tape recorders) and steps teachers would employ in the English class. The literature related to these issues is fairly limited. Wood (1968) conducted a study in which sixty teachers of Adult Basic Education contributed ideas for using the tape recorder as an instructional tool. She asked if a tape recorder could be used to aid an adult in his quest for literacy. Along with another question, it became the impetus for a project undertaken at the Institute for Teachers of Adult Basic Education. In the study questionnaire she asked for a comment on techniques and results of using the tape recorder in the teaching of reading. Responses indicated that very few of the instructors had used the tape recorder for this express purpose, but those who had done so were enthusiastic about the results.

Hayden (1978) employed the dialogue method of second language learning with elementary and junior high school students who had many opportunities to hear, read and use Standard English in a relevant and motivating setting. Students were paired, and each partner was given only half the dialogue. Partners took turns reading the lines while listening to them on the tape recorder and then took turns reading them to each other.

Begin (1979) prepared a paper in which he addressed the issue of whether education technology can be of assistance to the public school teacher who is in the position of having to teach the rudiments of a second language that he himself has not mastered. Subjects were ten and eleven year old students, with whom teachers particularly used the cassette tape-recorder, which allowed for a high degree of individualization of instruction. The results show that the 10-year-old students performed better than a control group in a similar context. The instructional method used also seems to increase the motivation and enjoyment of the students in relation to English as a school subject. However, the learning environment thus created retains certain rigidity unless it is enlivened by a teacher capable of speaking the second language and promoting dynamic exchanges between students.

Verghese (1989) stated in his book that the tape recorder can be used for class oral work leading to the elimination of personal faults in pronunciation, intonation and rhythm. The tape recorder can also be used for dictation from the very elementary reproduction stage to the very advanced unseen test. He also stated that poetry can be taught with the help of a tape recorder with ease and delight. It also can be a valuable aid in the teaching of drama. He concluded that the tape recorder is a convenient aid for the practice of language skills. Washburn et al (1995) taped conversations held by pairs of learners to encourage them to use strategies for avoiding and repairing breakdowns and require them to take initiative and accept responsibility for their success, which could be transferred successfully to many classroom environments. A paper prepared by Al-Ansari and Wigzell (1996) reports on a study undertaken in Bahrain secondary schools on the contribution of tape-recorders to learning outcomes in EFL. The results demonstrate a significant connection between the studied variables pertaining to the use of the tape-recorder and attained levels of proficiency. Students' proficiency was found to correlate significantly with their perception of the availability of tape-recorders in their schools, with their perception of the frequency with which their teacher uses a tape-recorder and with their perception of their teacher's manipulative skill in operating a tape-recorder.

Beare (2010) says that tape and video recorders are traditionally used to present listening and/or visual learning materials to students. However, tape and video recorders are also wonderful props that help students become more playful with the learning process and involve them at a deeper level. Apart from the study by Al-Ansari and Wigzell (ibid), which underlines the availability of tape recorders in the schools for better EFL outcomes, the other studies are interested in the listening skill itself (its importance, means, props, and implementation).

Methodology
Subjects

Ninety-nine of the 104 sample subjects responded to the study. The sample consisted of the low primary stage teachers (male and female) who teach English in the city of Irbid, Jordan. Teachers were randomly selected from schools run by the three main sectors that constitute the school educational main body in Jordan (government, private, and UNRWA [United Nations Relief and Work Agency for Palestinian refugees]). Study subjects are holders of the bachelor degree in English language or the bachelor plus diploma in Education or the master degree in English methodology. There are no Ph.D. holders. For frequency and percentage of study variables and subjects see table 1 below.

Table: 1. Frequency and Percentage of Gender, Type of school, and Qualification

Vari-able	No.	%	Variable	No.	%	Vari-able	No.	%
Male	41	41.4	Gov.	60	80.6	BA	77	77.8
Female	58	58.6	Private	20	20.2	BA+Dip.	11	11.1
			UNRWA	19	19.2	M.Ed.	11	11.1
Total	99	100.0	Total	99	100.0	Total	99	100.0

Instrument

A two part questionnaire (see appendix) is developed by the researcher. The first investigates the availability and use of equipment (tape and tape recorder) to which the subjects respond with yes or no. It contains six questions. The second part contains 16 steps that the teachers would apply with their students. They took the form of statements to which the subjects respond by choosing one from five responses (never, rarely, sometimes, mostly, and always). The questionnaire has been first written in English and then translated into Arabic – the subjects' first language to ensure understanding of all items. The translation has

been done by the researcher himself, and then reviewed and approved by two professional translators.

Data Analysis Procedures

The internal consistency of the two parts of the questionnaire (equipment and steps) was calculated by using Cronbach's alpha coefficient. The overall reliability for the 22 item questionnaire (equipment: 6 yes or no questions + steps: 16 items) was 0.8831. The item scale in the equipment category shows acceptable reliability of .5268; whereas the item scale in the steps category shows high reliability of .8906.   This indicates that the questionnaire is reasonably reliable.

To determine the significance in the analysis of the data, the value of $p<.05$ is chosen. The analysis of variance (ANOVA) is used to determine significant variation in mean of the availability of equipment across the three variables of gender, school type, and qualification. The ANOVA was also used to find out the differences in mean of the reported step use in relation to each one of the three independent variables.

Discussion of the Findings
Availability of Equipment

The overall review of the means of the equipment availability through the three variables together show that the equipment (tapes and tape recorders) are reasonably available as indicated in table 2 below.

Table No. 2: Overall availability of equipment - means and standard deviation

Equipment availability	M.	Std. Dev.
Is there a tape recorder in your school?	.93	.25
Is there electrical power supply in your school?	.99	.10
Is there more than one tape recorder in your school?	.79	.41
Is there a tape recorder used for teaching English only in your school?	.63	.49
Is the tape recorder you use, used by other teachers for other subjects?	.53	.50
Do you have the tapes of English for the classes you teach?	.90	.30

A quick look at the table above shows that all schools have electricity (M = .99), most of them have tape recorders (M. = .93), and tapes of English for the classes are mostly available (M = .90). The table indicates that the authorities running the schools have mostly done their job very well through providing electricity, tape recorders and tapes, which are the main elements of the listening class in this context. The two questions about having more than one tape recorder and having a tape recorder exclusively for English classes are minor elements and rely on the teacher's initiative to make them available. They score relatively lower means as shown in the table (.79 and .63) but still they are good enough for the teachers to make do with reasonably. Having other teachers using the tape recorder of the English teacher is relatively high (M= .53), which means that the teacher of English has sometimes to go to class without having the tape recorder with him because another teacher of another subject is using it. Providing at least one tape recorder, electricity, and the tapes is the responsibility of schools administrations, which they in fact do. However, administrations' responsibilities should also proceed to ensure that teachers of English have tape recorders used exclusively by them and do employ the equipment in class.

Data analysis of the three variables in the study shows no significant differences in the teachers' qualifications variable (BA, BA + Diploma, M.Ed.). This is because most of the issues about providing the equipment in the first part of the questionnaire are the responsibility of school authorities and administrations rather than the teachers.

The gender variable is clearly reflected in the study data analysis. Table 3 below shows significant differences for the female over the male English teachers concerning the questions about having a tape recorder for teaching English only, and having the tape recorder

used by other teachers for other subjects other than English. Female teachers of English score higher means than the male teachers concerning the two questions just mentioned above (.71 : 51; .66 : 34 respectively). Female individuals usually score higher means than the male in human sciences (El-Omari, 2002).

Table No. 3: The variable of gender and equipment availability

Equipment questions	Male (n=41)		Female(n=58)		T	Sig.
	Mean	Std. Dev.	Mean	Std. Dev.		
Is there a tape recorder in your school?	.90	.30	.95	.22	-.871	.386
Is there electrical power supply in your school?	1.00	.00	.98	.13	.840	.403
Is there more than one tape recorder in your school?	.80	.40	.78	.42	.345	.731
Is there a tape recorder used for teaching English only in your school?	.51	.51	.71	.46	-1.992	.049
Is the tape recorder you use, used by other teachers for other subjects?	.34	.48	.66	.48	-3.205	.002
Do you have the tapes of English lessons for the classes you teach?	.83	.38	.95	.22	-1.953	.054

The mean difference is significant at the .050 level

Out of the six items of the equipment part in the questionnaire, the school type variable data analysis shows significant differences with only two items as shown in table 4 below. The first one is the question about having a tape recorder exclusively used for teaching English and the second is about getting the tapes of English lessons for the classes teachers teach. The significance for the private and UNRWA schools over the government ones stems from two main factors. The first is attributed to profit making motives of the private schools because their administrators are usually their owners, who are concerned about good standards of facilities at their schools to attract students i.e. customers. The second factor concerns UNRWA schools, whose teachers are relatively better well-paid than government teachers, and undergo intensive supervision by UNRWA educational department.

Table No. 4: The variable of school type and equipment availability

Equipment questions	Government		Private		UNRWA		F	Sig.
	M.	Std. Dev.	M.	Std. Dev	Mean	Std. Dev.		
Is there a tape recorder in your school?	.92	.28	.90	.31	1.00	.00	.915	.404
Is there electrical power supply in your school?	.98	.13	1.00	.00	1.00	.00	.320	.727
Is there more than one tape recorder in your school?	.77	.43	.85	.37	.79	.42	.304	.738
Is there a tape recorder used for teaching English only in your school?	.50	.50	.85	.37	.79	.42	5.711	.005
Is there a tape recorder you use, used by other teachers for other subjects?	.52	.50	.45	.51	.63	.50	.655	.522
Do you have the tapes of English lessons for the classes you teach?	.83	.38	1.00	.00	1.00	.00	3.782	.026

While there are significant differences between the government school teachers on the one hand, and the private and UNRWA teachers on the other, no significant differences exist between the private and UNRWA school teachers for the above mentioned reasons. The relationships are clearly displayed in table 5 below. Every school has at least one tape recorder used for different purposes such as, recitations of the holy Quran, the morning

assembly to play the national anthem, and some national enthusiastic songs. This exposes it to frequent damage as it is used by many people (teachers and students). Having a tape recorder exclusively used by the teacher of English becomes very urgent as he/she uses it in nearly every English class. Private and UNRWA schools compared to government schools are significantly different by providing teachers of English with tape recorders exclusively used by them. This would ensure better application of the listening activities in the English class as teachers have no excuses for not using them.

The table also shows a significant difference about the teachers having the tapes of English lessons for their classes in favor of the private and UNRWA school teachers over the government teachers. In this context, the tapes are prepared by the Centre of Learning Resources at the government educational directorate. School administrations refer to the directorate or the centre to collect the tapes. Motivated by nearly the same above mentioned reasons, private and UNRWA school teachers are keener to have the tapes than the government school teachers as the table below indicates. Those teachers who do not have the tapes will find themselves reading the English lessons to their students, a quality which is well below that of a native speaker on the tape.

Table No.5: School type multiple comparisons of mean and significance in two issues

Independent Variable	(I) SCHOOL	(J) SCHOOL	Mean Difference(I-J)	Sig.
Is there a tape recorder used for teaching English only, in your school?	Government	Private	-.35(*)	.004
		UNRWA	-.29(*)	.020
	Private	Government	.35(*)	.004
		UNRWA	.06	.685
	UNRWA	Government	.29(*)	.020
		Private	-.06	.685
Do you have the tapes of English lessons for the classes you teach?	Government	Private	-.17(*)	.031
		UNRWA	-.17(*)	.034
	Private	Government	.17(*)	.031
		UNRWA	.00	1.000
	UNRWA	Government	.17(*)	.034
		Private	.00	1.000

* The mean difference is significant at the .050 level.

Steps of Using the Tapes and Tape Recorders

The questionnaire has sixteen steps which the researcher has prepared. The first five steps are technical, i.e. they refer to the mechanics and installations of apparatus teachers of English should have to ensure the proper functioning and use of the tape and tape recorder (see table No. 6 below and notice the means of strategy use). This reflects the efficiency of teachers and school administrations, as well as the cooperation they practice amongst themselves, and realization of their responsibilities. Teachers would not be able to play the tape if there was no electric power, or the electric socket or the tape recorder was damaged. School principals would refuse or hesitate to provide batteries or get the broken tape recorder fixed. Teachers would forget to take the tape recorder and tapes to their classroom, or would not bother to pay any effort to fetch them. These are small and trivial matters that would pop in any time and hinder or spoil the English class teaching learning process. Efficient teachers and administrators will hasten to solve such minor problems, an initiative which would enhance the motivation and enjoyment of the students (Begin, 1979). The strategy use means show that the study subjects look reluctant to use batteries, or move to another classroom if there are no batteries or the electric socket is damaged (1.95 and 2.84 respectively). Teachers' reaction to fixing a damaged tape recorder is mild (3.60). However, they hasten to report the broken tape recorder to the school administration, scoring the highest mean (4.61) and the least standard deviation (.89), throwing the responsibility off their shoulders onto the

principals'. Moreover, they claim taking the concerned tapes and tape recorder to class, scoring the third highest mean (4.28).

The next eleven strategies describe what teachers should do to help their students learn the sounds of English language as articulated by native English speakers' voices recorded on the tapes as per the lessons in the curriculum. The questionnaire investigates if the teachers themselves listen to the recordings of the lessons before presenting them to the students. The questionnaire ends by investigating the issue of teachers getting the students imitate the voice of the native speaker on the cassette. Considering table No. 6 again, teachers claim that they listen to the lessons recorded on cassettes before they present them to the students (4.20). Teachers also follow the instructions and get students listen to the lessons (4.44). Going down the strategies in the table, means indicate that teachers nearly do as they are expected to do. They get the students listen to the lesson recorded on the cassette at least three times while books are closed (3.84). This helps students to concentrate and familiarize themselves with the spoken English with all its features such as, intonation, pitch, rhythm … etc, according to the context. Beare (2010) thinks that "some students convince themselves that they are not able to understand spoken English well and create problems for themselves". He adds that he tries to teach his students that they need to listen to English as often as possible, but for short periods of time.

Opening books and pointing to the pictures accompanying the lesson while listening, and pointing to the words and sentences in the next step, students' recognition of words, items and referents increases (means 4.06 and 4.16 respectively). Students' repetition and imitation of the native speaker's voice on the cassette is ascertained. The next four statements of the questionnaire deal with these strategies, and subjects' responses indicate that they nearly follow the process of repetition and imitation well, scoring relatively high means (4.12, 3.59, 4.16, and 3.52 respectively). The last two items of the questionnaire sum up the whole process of using the tape and tape recorder in the English lesson to ensure the proper application of the strategies concerned. Subjects here score relatively medium means (3.44 and 3.14 respectively).

Table No. 6: Steps of equipment use by teachers

Steps	Mean	Std. Deviation
I use dry batteries to run the tape recorder if there is no electricity or the electric outlet in the classroom is not working	1.95	1.09
If the electric outlet in the classroom is not working I move to another classroom which has this facility	2.84	1.43
I get the tape recorder fixed immediately if it fails to work	3.60	1.35
If the electric outlet in the classroom is not working I report it to the school principal	4.61	.89
I take the tape recorder and the concerned cassettes with me when I go to the class	4.28	1.05
I listen to the lesson on the cassette before I present it to the students	4.20	1.01
I get the students listen to the lesson on the cassette as indicated by the school book	4.44	.98
I get the students listen to the lesson on the cassette at least three times, books closed	3.84	1.17
I get the students listen to the lesson on the cassette and point to the pictures of the lesson	4.06	1.09
I get the students listen to the lesson on the cassette and point to the sentences of the lesson	4.16	1.03
I get the students listen to the lesson on the cassette and repeat sentence by sentence for at least one time, altogether	4.12	1.06
I get the students listen to the lesson on the cassette and repeat sentence by sentence, in groups, pairs, and individually for at least one time in each case	3.59	1.21
If students' repetition after the cassette was not good because sentences	4.16	1.13

are too long, I divide them into sense groups by using the 'pause' button		
If students' repetition of some expressions or sentences is not satisfactory, I do not read, but I rewind the cassette for them to repeat	3.52	1.31
All lessons and exercises where the book indicates the use of the cassette should be done accordingly	3.44	1.19
I get the students imitate the voice of the native speaker on the cassette and no- body's else	3.14	1.33

Discussing the steps of using equipment and employing them in the English class according to the three variables of the study, only those which have statistical significance will be taken into consideration.

Analysis of the results of the qualification variable shows no significant differences among teachers, who are mainly university graduates holding the BA in English, the BA plus diploma, and the M.Ed. in English methodology degrees. This issue needs further investigation, since obtaining higher qualifications does not reflect differences in strategy use. This might be attributed to the in-service training programs which the Ministry of Education and UNRWA prepare for teachers of English. However, the results show that teachers of English, of all qualification levels, lack the sense of initiative, as few of them use dry batteries or move to another classroom to run the tape recorder if there is no power supply for any reason as shown in the first two strategies. For the first step (see the appendix) 'I use dry batteries to run the tape recorder if there is no electricity or the socket in the classroom is not working", the three qualification teachers score the means 1.97, 1.73, and 2.00 respectively. It is surprising that BA teachers score higher mean than the teachers of BA plus a diploma in education, who have received extra hours in methodology. Moreover, BA teachers nearly score the same as M.Ed. English teachers. For the second step, "If the electric socket in the classroom is not working, I move to another classroom which has this facility', BA teachers score higher than both of the other two qualification teachers (2.91, 2.64 and 2.55 respectively). Results show that BA teachers of English are more initiative than the other two categories, and pay more effort to ensure that their students are taught properly by using the tapes and tape recorders. English teachers with a diploma over their BA, and those with M.Ed. might rely on their qualifications and experience which do not usually work without getting students to listen to the native speaker's voice recorded on the tape recorder as per the instructions in the teacher's guide.

Gender is the second variable according to which the steps of using the tape and the tape recorder in teaching English at Jordanian schools at the low basic level (grades 1 – 6) are investigated. Table 7 below shows only the steps which reflect significant differences in use by the subjects from the gender perspective. Six out of the sixteen steps (see the appendix), were found to show significant differences in favor of the female English teachers over the male.

Table No. 7: Steps at which male and female English teachers significantly differ

Steps	Male (n=41)		Female (n=58)		T	Sig.
	Mean	Std. Devi.	Mean	Std. Devi.		
If the electric outlet in the classroom is not working, I move to another one which has this facility	2.39	1.32	3.16	1.42	-2.712	.008
If the electric outlet in the classroom is not working, I report it to the school principal	4.29	1.19	4.83	.50	-3.069	.003
I take the tape recorder and the concerned cassettes with me when I go to the class	3.88	1.33	4.57	.68	-3.393	.001
I get the students listen to the lesson on the cassette as indicated by the school book	4.15	1.22	4.66	.71	-2.615	.010
I get the students listen to the lesson on the cassette and repeat sentence by sentence for at least one time, altogether	3.85	1.15	4.31	.96	-2.146	.034

If students' repetition after the cassette was not good because sentences are too long, I divide them into sense groups by using the 'pause' button	3.83	1.20	4.40	1.02	-2.524	.013

Table 7 above shows that female teachers of English take the initiative and move to another classroom to get their students listen to the lesson recorded on the tape, if the power socket does not work. They also would report the damage to the school principal to ensure that the next day class would run smoothly and properly without interruption or any short comings.

Taking the tape recorder and the relevant cassettes to the class is the first step towards an optimal English listening class lesson. The significant difference is crystal clear at the .001 level of this step with the means 4.57 for female teachers and 3.88 for the male. Female teachers of English scored significantly higher than the male with the other three steps. In fact all through the sixteen step analysis the female teachers of English score higher means than the male. This indicates that female teachers of English employ the steps of using the tape and tape recorder in the English class more than the male. A further investigation of the correlation between the use of the tape and tape recorder and students' achievement in learning English would reflect the role that female teachers of English play in developing the English teaching – learning process.

The school type is the third variable through which the issue is investigated. Out of the sixteen steps, six show significant differences amongst teachers of English in the three types of schools – government, private, and UNRWA schools. All through the sixteen steps, the means scored of the step use are for the UNRWA English teachers over the other two school types. The overall comparison shows significant differences for the teachers of English at UNRWA schools over private and government schools. However, private school teachers of English are also significantly different over government school teachers at the six steps which show significant differences as indicated in table No. 8 below. The table shows the mean difference at less than the .050 level. The findings are surprising since government educational authorities prepare the tapes of the English lessons every year and inform all schools from all sectors and call them to collect their copies of the cassettes. Frequent visits to schools from the three sectors mentioned above, in the city of Irbid, show that government schools enjoy better facilities and larger classrooms than the other two school sectors. When the school principals and administrators were asked about the availability of tape recorders and tapes, they insisted on providing them. Reviewing the textbooks especially for the lower grades, all units indicate the use of the tapes for most lessons in them. The first step in the table above, UNRWA and private school teachers of English are significantly different compared to government teachers. The former are keener to take the tape recorder and the concerned cassettes to their classes than the latter. They also listen to the lessons recorded on the cassette before they present them more than government teachers of English do. Getting students listen and repeat after the native speaker's voice recorded on the cassette, in groups, pairs, and individually to imitate the true situations in the lesson is also considered by UNRWA and private teachers more than government. Regarding the last two steps in the table above, UNRWA English teachers score significantly different over the other two sectors'. This could be attributed to the frequent supervision visits that UNRWA department of education supervisors carry out. Another reason, which needs to be investigated, might be attributed to the financial factor as UNRWA teachers are better paid than government or private school teachers. UNRWA teachers and students are mainly Palestinian refugees who might feel the responsibility they share towards their cause through the betterment of their teaching-learning process. However, this conclusion is merely a personal view which needs further investigation to be experimentally considered.

Table No. 8: Steps at which three sector school types significantly differ

Dependent Variable	(I) School	(J) School	Mean Differ.(I-J)	Sig.
I take the tape recorder and the concerned cassettes with me when I go to the class	Gov.ment	Private	-.68(*)	.008
		UNRWA	-.93(*)	.001
	Private	Gov.ment	.68(*)	.008
		UNRWA	-.24	.438
	UNRWA	Gov.ment	.93(*)	.001
		Private	.24	.438
I listen to the lesson on the cassette before I present it to the students	Gov.ment	Private	-.52(*)	.044
		UNRWA	-.60(*)	.023
	Private	Gov.ment	.52(*)	.044
		UNRWA	-.08	.802
	UNRWA	Gov.ment	.60(*)	.023
		Private	.08	.802
I get the students listen to the lesson on the cassette and repeat sentence by sentence for at least one time, altogether	Gov.ment	Private	-.55(*)	.043
		UNRWA	-.57(*)	.038
	Private	Gov.ment	.55(*)	.043
		UNRWA	-.02	.943
	UNRWA	Gov.ment	.57(*)	.038
		Private	.02	.943
I get the students listen to the lesson on the cassette and repeat sentence by sentence, in groups, pairs, and individually for at least one time in each case	Gov.ment	Private	-.75(*)	.013
		UNRWA	-.96(*)	.002
	Private	Gov.ment	.75(*)	.013
		UNRWA	-.21	.568
	UNRWA	Gov.ment	.96(*)	.002
		Private	.21	.568
All lessons and exercises where the book indicates the use of the cassette, they should be done accordingly	Gov.ment	Private	-.10	.736
		UNRWA	-.91(*)	.003
	Private	Gov.ment	.10	.736
		UNRWA	-.81(*)	.030
	UNRWA	Gov.ment	.91(*)	.003
		Private	.81(*)	.030
I get the students imitate the voice of the native speaker on the cassette and no-body's else	Gov.ment	Private	.10	.761
		UNRWA	-1.10(*)	.001
	Private	Gov.ment	-.10	.761
		UNRWA	-1.20(*)	.004
	UNRWA	Gov.ment	1.10(*)	.001
		Private	1.20(*)	.004

* The mean difference is significant at the .050 level.

Conclusion

The statistical evidence tabulated in tables 1 – 8 show the importance of studying the availability of equipment (tapes and tape recorders) and the steps of using them in English classes by teachers of English at the low primary stage. This is done in accordance with three main variables – teachers' qualifications, gender, and school type. Following are some broad generalizations:

Teachers of English distributed on the three qualifications – BA, BA + Diploma, and M.Ed. - care about providing their classes with the necessary functioning equipment to ensure presenting the English lessons properly.

Female teachers of English are more concerned about presenting their English classes properly than male teachers. They ensure providing required equipment and employ necessary strategies for an optimal English class.

UNRWA and private school English teachers are interested in having a tape recorder specifically used for teaching English. This enables them to present their English classes in accordance with the procedures in teachers' guide book and students' textbook indications.

Performing procedures in 3 above, UNRWA and private school teachers of English collect the concerned tapes for the English classes they teach. This makes them more prepared and time saving than government teachers.

Considering the qualification variable, Jordanian teachers of English prepare required equipment and employ proper steps to present the English classes in accordance with the teachers' guide book instructions and students' book indications.

Female teachers of English are better than the male at preparing required equipment and employing the proper steps to present the English classes. They have no problem moving to another classroom if the electric socket is damaged, and report it to the school administration to be repaired.

Female teachers of English are more interested than the males in taking the tapes and tape recorder to their classes and getting students to listen to the lessons as textbooks indicate.

Female teachers of English are better presenters of the English class than the male at issues concerning the whole class repeating sentences of the lesson recorded in native speakers' voice.

Female teachers of English also insist on proper repetition of long sentences more than the male by dividing them into sense groups.

UNRWA and private school teachers of English are more concerned about taking the tapes and tape recorders to their classes than the government teachers.

UNRWA and private school teachers of English are more interested than government teachers in listening to the lessons recorded on the cassettes before presenting them to their students.

UNRWA and private school teachers of English are better presenters of the English class than the government teachers at issues concerning the whole class repeating sentences of the lesson recorded in native speakers' voice.

UNRWA and private school teaches of English are better performers than government teachers at getting students to listen and repeat recorded sentences in groups, pairs, and individuals for at least once in each case.

UNRWA school teachers of English follow textbook indications about using the cassette more than government and private school teachers do respectively.

UNRWA school teachers of English insist on students imitating the native speaker's voice recorded on the cassette and no-body's else more than government and private school teachers do respectively.

Recommendations

This study shows that government teachers of English are the least interested in providing listening equipment in their classes, and they are also the least in using the strategies related to the equipment of the three main sectors that run schools in Jordan. This is so despite the abundant equipment and facilities provided at government schools, besides reasonable class sizes and rather big classrooms, an issue that needs further investigation. Most UNRWA and private schools are over crowded and lack equipment and facilities that government schools enjoy, and teachers' loads are higher than those of the government. This indicates that teachers of English at these schools (UNRWA and private) make do with the equipment and facilities they have. Government school teachers need to undergo close supervision conducted by supervisors of English language teaching to insist on having and using equipment and strategies of English classes. The study also recommends investigating the possibility of having correlation between the proper use of equipment and strategies in English classes at the lower basic stage and students' achievement.

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Appendix: Questionnaire

Qualification: 1- BA   2- BA + Diploma   3- M.Ed.   4- PhD

Gender: 1- Male   2- Female

School Type: 1- Government   2- Private   3- UNRWA

1. Equipment Data

No.	Question	Yes	No
1	Is there a tape recorder in your school?		
2	Is there electrical power supply in your school?		
3	Is there more than one tape recorder in your school?		
4	Is there a tape recorder used for teaching English only in your school?		
5	Is the tape recorder you use, used by other teachers for other subjects?		
6	Do you have the tapes of English lessons for the classes you teach?		

2. Steps

No.	Item	never	rarely	Sometimes	mostly	Always
1	I use dry batteries to run the tape recorder if there is no electricity or the electric outlet in the classroom is not working					
2	If the electric outlet in the classroom is not working I move to another classroom which has this facility					
3	I get the tape recorder fixed immediately if it fails to work					
4	If the electric outlet in the classroom is not working I report it to the school principal					
5	I take the tape recorder and the concerned cassettes with me when I go to the class					

6	I listen to the lesson on the cassette before I present it to the students					
7	I get the students listen to the lesson on the cassette as indicated by the textbook					
8	I get the students listen to the lesson on the cassette at least three times, books closed					
9	I get the students listen to the lesson on the cassette and point to the pictures of the lesson					
10	I get the students listen to the lesson on the cassette and point to the sentences of the lesson					
11	I get the students listen to the lesson on the cassette and repeat sentence by sentence for at least one time, altogether					
12	I get the students listen to the lesson on the cassette and repeat sentence by sentence, in groups, pairs, and individually for at least one time in each case					
13	If students' repetition after the cassette was not good because sentences are too long, I divide them into sense groups by using the 'pause button'					
14	If students' repetition of some expressions or sentences is not satisfactory, I do not read, but I rewind the cassette for them to repeat					
15	All lessons and exercises where the book indicates the use of the cassette, they should be done accordingly					
16	I get the students imitate the voice of the native speaker on the cassette and no- body's else					

THE INFORMATION LITERACY AND VERBAL CREATIVITY OF TRAINEE TEACHERS OF TECHNOLOGIES

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Abstract

The paper explores the information literacy and verbal creativity of female trainee teachers of Technologies (3rd year students) in Lithuania. Their information literacy was determined applying Mažeikienė et al.'s (2008) test for identifying information literacy, and verbal creativity was analyzed by means of Torrance's technique of personal creativity diagnostics (a verbal expression questionnaire). The paper analyzes the relation between the informants' information literacy and verbal creativity.

Keywords: Information literacy, verbal creativity, creative fluency, creative flexibility, trainee teachers of Technologies.

Introduction

For the last three decades UNESCO has been trying to promote the development of media and information literacy (http://unesco.lt/komunikacija-ir-informacija/mediju-ir-informacinis-rastingumas). Information literacy is the result of media education (the process of teaching and learning) and they key to life-long learning. The open-minded, educated and constantly learning information society which manages information is inevitably using information and communication technologies not only in their working environment, but also in different spheres of social, cultural, economic and political life. It is conditioned by the continuous reception, acquisition and transfer of knowledge with a special emphasis on the novelty and otherness of the present situation, the influence on human consciousness which is reflected in educational issues (Daujotytė-Pakerienė, 2001;Raeis, Bahrami, Yousefi, 2013; http://unesco.lt/komunikacija-ir-informacija/mediju-ir-informacinis-rastingumas).

Modern students are a generation which is being brought up by different technologies, including the information technologies, and any activity of theirs is related to technologies (Engestrom, 2001; Fischer, 2005; Jenkins, 2006; Cross-Bystrom, 2010; Rosen et al., 2013). Educators aim not only to manage information efficiently themselves, to innovatively improve the programmes of education and implement them, but also to encourage the growing generation to use information constructively, assess it critically, integrate into their possessed knowledge, ethically use it and create it by themselves (Daujotytė-Pakerienė, 2001; LaPorte, 2008).

The goal of any country is to train the future specialists so that they are able to answer the needs of the EU and global market in order to improve the economic competitiveness of the country. A necessary precondition for the implementation of this goal is perfect information literacy (PolerKovacic, ZgrabljicRotar, Erjavec, 2012), hence, researchers all over the world conduct studies aiming to reveal the students' (Ladbrook, Prober, 2011; Maitaouthong, Tuamsuk, Techamanee, 2011; PolerKovacic, ZgrabljicRotar, Erjavec, 2012; Raeis, Bahrami, Yousefi, 2013) and teachers' (Korobili, Malliari, Daniilidou, Christodoulou, 2011) skills of information literacy.

The international research and theoretical analysis determined that the use of digital technologies directly affects students' lifestyles, conception and choices. The students who

use information technologies have a wider approach to the analyzed issues, they have better skills of information literacy, and they are able to think critically (Ladbrook, Prober, 2011). However, the results of some other studies show that teachers are not inclined to apply information skills in their professional activity and thus restrict their trainees' attitude to information (Korobili, Malliari, Daniilidou, Christodoulou, 2011).

Researchers conceive the certain influence of information literacy on the quality of activity and thus try to create effective techniques for integrating information literacy into bachelor degree studies (Maitaouthong, Tuamsuk, Techamanee, 2011). The 21st century society faces the space and time of other possibilities, thus, the goal is to make the consumer become the creator of information. Every creator is expected to produce unique works, or, in other words, they have to be original (Daujotytė-Pakerienė, 2001; LaPorte, 2008).

Originality is frequently directly related to creativity Becker-Textor, 2001; Rowlands, 2011; Bhasin, 2011). Creativity expands the limits of cognition as well as production of scientific information and its development. In the era of information products, information literacy enables every individual not only to be inquisitive and look for information, but also to search for the target truth which helps to make individual decisions. The aforementioned processes are connected not only with personal or professional development and self-realization, but also with survival, adaptation, and competitiveness in the market. When solving the issue of survival in the era of information products, of key importance is creativity not only at universities, but in all institutions of education. Moreover, the ability to manage information is the reason to be proud of oneself and be confident of one's powers. Information management and confidence also affect creativity and its expression (Hensley, Arp, Woodard, Beth, 2004; Raeis, Bahrami, Yousefi, 2013). Hence, constructive and productive activity of a modern person requires two interrelated components – creativity and information literacy.

The General Programmes of Technologies for Basic Education in Lithuania (2008) state that Technological Education consists of learners' creative and productive activity, for the implementation of which information literacy and creativity are especially important. Good skills of information literacy help to distinguish between learning about the influence of the media, education technologies and educational media, and at the same time they can help to assimilate these spheres and become a creator of information. The result of this process is the creator of information. According to Pearson and Young (2002), modern society is directly dependent on technologies, which it at the same time creates; therefore, every person has to be familiar with technologies. The fast development of technologies and information alongside with the scientific progress require new patterns of thinking, knowledge and skills (Birmontienė, Tamutienė, 2001) which all rely on creativity. Creativity enables a person to interpret, assimilate new information with the old one, flexibly use the possessed knowledge, accurately apply the abilities in order to cognize, employ and create technologies Meyer, 2012).

The curricula of the 21st century include various abilities; nevertheless, creativity is incorporated into all education documents as one of the most important skills of survival (Jaquith, 2011). Creativity and creation have always raised a lot of questions and discussions (Guilford, 1950; Belcher, Davis, 1971; Torrance, 1971; 1974; 1977; 1987; Barron, 1988; 2004; Gardner, 1993; Gage, Berliner, 1994; Burleson, 2005;Olatoye, Oyundoyin, 2007), but the present-day attention to creativity is raising even more topical questions (Jaquith, 2011;Kozik, Handlovska, 2011; Díaz, 2011; Rowlands, 2011), especially in teacher training which is directly related to the world of tomorrow. Promotion of creativity expression is one of the major objectives of today's education (Meyer, 2012). These investigations and discussions justify the significance of Technology teachers' information literacy management and creativity expression as well as enable to conduct a qualitative research on the trainee

Technology teachers' information literacy, creativity and the interrelation of these two components.

Main Text

The research problem is the information literacy and verbal creativity of female trainee teachers (3rd year students) of Technologies as well as their interrelation.

The object of the research is trainee Technology teachers' information literacy and verbal creativity.

The goal of the research is to investigate the information literacy and verbal creativity of trainee teachers of Technologies and to reveal their interrelation.

The methods used: scientific literature and documents review and a qualitative analysis, based on Mažeikienė et al.'s (2008) test and Torrance's methodological recommendations.

Research questions:

What is the verbal creativity of the 3rd year students of Technology Education?

What is the information literacy of the 3rd year students of Technology Education?

Is the information literacy of trainee Technology teachers related to their verbal creativity?

Research Instrument

Research methodology

The Methodology for a Diagnostic Analysis of Verbal Creativity

assessment of creativity involves a number of criteria such as novelty, relevance, effectiveness, usefulness, and surprise (Boden, 2004; Cropley, 1999; Plucker, Beghetto, & Dow, 2004; Sternberg &Lubart, 1996,). Research on the assessment of creativity has been criticized for not having adequate criterion measures as well as for relying on subjective judgments and for using creativity tests that have theoretically too general or unimportant items to measure such a complex construct (Sak&Ayas).

The instrument for the analysis of trainee Technology teachers' verbal creativity (in verbal expression) was composed on the basis of Torrance's test technique (TTCT). The study also used Torrance's (1995) and Kim's (2006) works.

The first feature of the expression of creativity – **fluency** – is diagnosed by adding up the total sum of the informant's answers. The expression of creativity on the basis of fluency is measured by amplitude, quantity. The more the answers the higher level of creativity is achieved on the basis of the fluency criterion. In the calculation of the expression of creativity on the basis of points for the fluency criterion, every answer is assessed with 1 point.

Another feature of the expression of creativity – **flexibility** – is perceived as the number of categories (classes). The expression of creativity on the basis of flexibility is measured by the variety of categories (classes) and their amplitude. All the answers of the respondents are grouped into categories (classes) according to their meaning. Irrespective of the number of answers in one category (class), when adding up the results, a category (class) is counted only once. The more variants of categories (classes) there are in the answers the higher level of creativity expression on the basis of the flexibility criterion. Every category (class) is assessed with 3 points.

One of the features of creativity, i.e. originality, is determined according to the number of unexpected, non-standard, unusual answers. An answer is considered to be original when it is unique, exclusive in the group of the informants. Every original answer is assessed with 5 points. Different groups provide different original variants of the answer.

The questionnaire for the analysis of creativity features consists of two parts: verbal (*TTCT – Verbal*) and nonverbal (*TTCT – Figural*). This paper presents the investigation of verbal creativity on the basis of only one – **verbal** – part of the questionnaire (Fig. 1). When the informants were completing the tasks in the **verbal part**, they had to **give answers in**

textual form. The verbal part of the questionnaire consists of four different tasks in which the research participants have to reveal the variety of objects / phenomena; describe objects / phenomena; foresee the possibilities of using the objects; foresee the possible consequences of using the objects. Every task has to be completed in 3 minutes. The tasks of the verbal part are composed on the basis of the curriculum of Technological Education which consists of four spheres: nutrition, textile, constructive materials, and electronics (General Programmes, 2008).

Kinds of Verbal Tasks

Description of objects / phenomena of Technological Education	Possibilities of using the objects / phenomena of Technological Education	Variety of objects / phenomena of Technological Education	Consequences of using the objects / phenomena of Technological Education
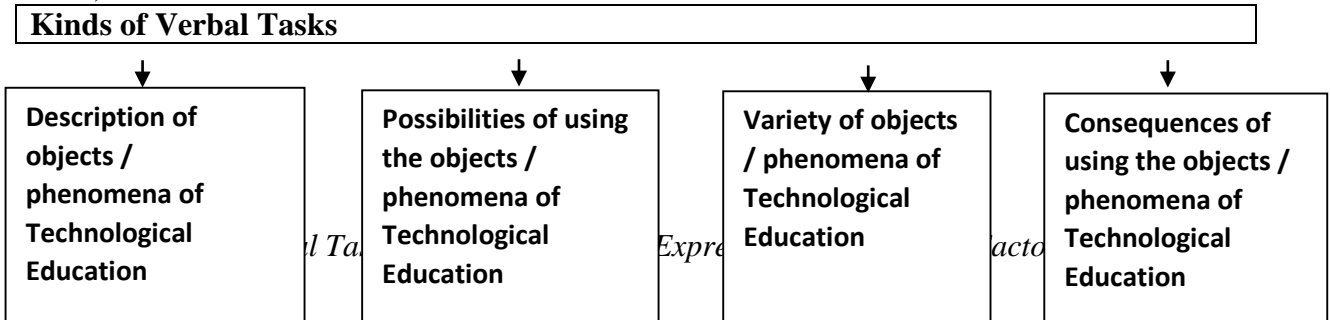
The Methodology for a Diagnostic Analysis of Information Literacy

The diagnostic analysis of information literacy was based on Mažeikienė et al.'s (2008) information literacy questionnaire which was adapted for Lithuania. The information literacy questionnaire consists of five groups of questions which correspond to the UNESCO conception of information literacy http://unesco.lt/komunikacija-ir-informacija/mediju-ir-informacinis-rastingumas): 1) perception of the goal and need for information; 2) determination of information search strategy and information acquisition; 3) information assessment, selection and management, integration of the selected information into the possessed system of knowledge and values; 4) information use and creation in order to achieve the target goal; 5) ethical and legal use of information (Fig 2)[39]. The complexity index (CI) of every group of questions was counted using the following formula:

$$CI = \frac{\sum N_1}{\sum N_2}$$

The higher the complexity index, the easier the questions in the analyzed group are.

The third and fourth year students of Technology Education, who took part in the study, answered 42 questions. Every question had four possible answers given and the students had to choose one correct option. The students' correct answers were analyzed according to the determined complexity index (CI).

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[39]N_1 – the sum of the informants' points, N_2 – theoretically possible sum of points
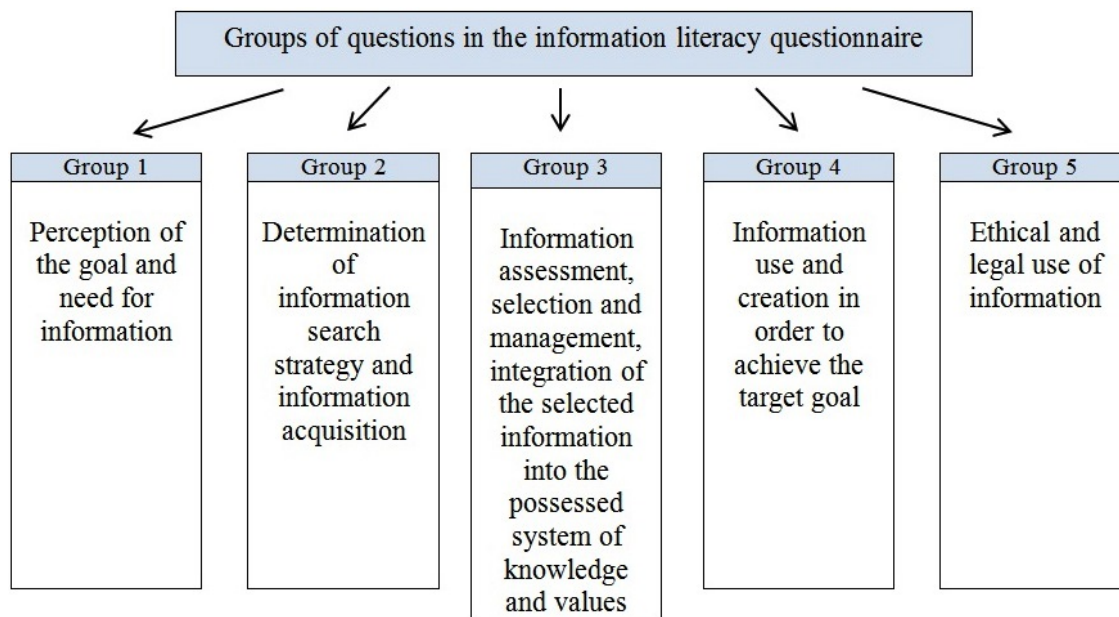
Fig.2. Groups of Questions in the Information Literacy Questionnaire

Characteristics of the Informants

The sample of a qualitative research is purposive and typically convenient (Patton, 2002). The informants of the research were the 3rd year female trainee teachers of Technology Education at Lithuanian University of Educational Sciences who were studying in the third and fourth years. The informants' educational and demographic characteristics were different (Table 1).

Table1. Educational and Demographic Characteristics of the Qualitative Research Participants

No	Nationality	Average grade of the last (4th) term	Age
Third year students			
1	Lithuanian	9.5	21
2	Lithuanian	10.0	21
3	Lithuanian	9.03	21
4	Lithuanian	10.0	21
5	Lithuanian	9.4	20
6	Lithuanian	9.0	21
7	Lithuanian	9.7	22

The research participants were all the 3rd year students in the programme of Technology Education. It has to be noted that in the third year this programme is studied only by female students. The curriculum of the study programme covers all the spheres of technologies: nutrition, textile, electronics, constructive materials and design. The average age of the informants is 20-22, and the average grades of the third year students vary (Table 1).

Research results
The Verbal Creativity of the 3rd Year Students of Technology Education

The highest scores for the expression of verbal creativity were determined in the respondents' answers to the first task of the research – description of Technological Education objects / phenomena on the basis o the fluency criterion (23; 21), and on the basis of the flexibility criterion (27), and on the basis of the originality criterion (95) (Table 2). The task which required the description of objects or phenomena by means of not only adjectives appeared to be the most favorable for the expression of the trainee Technology teachers' verbal creativity. The lowest score (5; 6) for the informants' creative fluency were determined

in the answers to the fourth task. It shows that the trainee Technology teachers have difficulty in foreseeing the quantity of the possible consequences of a given situation – the biggest number of the foreseen consequences of a given situation was 11, while the given objects were described in as many as 23 variants, and 16 different variants were presented for the definition of the application and variety of objects (Table 2).

Table 2. The Scores of 3rd Year Trainee Technology Teachers' Expression of Features of Verbal Creativity According to the Tasks

Informant	Question 1. Description of objects/ phenomena	Question 2. Application	Question 3. Variety of objects/ phenomena	Question 4. Possible consequences	Total score for verbal fluency/flexibility/originality	Total score for verbal creativity	Average grade
FLUENCY							
1	17	7	**15**	6	45	217	9.5
2	**23**	12	**16**	**5**	**56**	**306**	**10**
3	**11**	**8**	**9**	**5**	**33**	**213**	**9.0**
4	21	9	**15**	**11**	56	275	**10**
5	**23**	11	11	**5**	50	232	9.4
6	19	13	13	6	51	242	**9.0**
7	17	**16**	**15**	9	**57**	**337**	9.7
Total	**131**	**76**	**94**	**47**	**348**	**1822**	**9.5**
FLEXIBILITY							
1	**15**	5	-	12	**32**	217	9.5
2	18	8	-	**9**	35	**306**	**10**
3	18	5	-	12	35	**213**	**9.0**
4	21	**4**	-	**9**	34	275	**10**
5	**27**	6	-	**9**	**42**	232	9.4
6	21	5	-	15	41	242	**9.0**
7	**15**	**9**	-	**21**	**45**	**337**	9.7
Total	**135**	**42**	**-**	**87**	**264**	**1822**	**9.5**
ORIGINALITY							
1	65	**5**	40	30	140	217	9.5
2	**95**	30	**65**	25	**215**	**306**	**10**
3	55	40	**15**	35	145	**213**	**9.0**
4	70	45	40	30	185	275	**10**
5	55	45	25	**15**	**120**	232	9.4
6	**40**	55	35	20	150	242	**9.0**
7	**85**	**65**	50	35	**235**	**337**	9.7
Total	**465**	**285**	**270**	**190**	**1190**	**1822**	**9.5**
Total	731	403	364	324			

The 3rd year trainee Technology teachers who had the highest average grades (10; 9.7) also attained the highest scores for verbal fluency (57; 56) (Table 2). The possessed knowledge and experience facilitate a successful expression of verbal fluency.

The total verbal creativity is directly related to the expression of verbal creativity fluency: the informant whose total score for verbal creativity is the highest (337) also has the highest score for the general verbal fluency (57) and verbal fluency in the task on the application of objects (Question 2) (16). The informants, whose average term grades (10; 9.7) and the scores for verbal creativity are the highest in the group (337; 306; 275), also have the highest scores for verbal fluency in the task on the variety of objects / phenomena (16; 15) (Table 2).

The highest scores for the flexibility of verbal creativity (27) and the fluency of verbal creativity were determined in the task on the description of objects / phenomena (Question 1). The informant who possesses the highest score for verbal creativity also got the highest score for the flexibility of general verbal creativity (45) (Table 2).

The highest score for the expression of originality of verbal creativity was determined in the answers of the students who participated in the investigation of the first task – description of technological education objects / phenomena (95; 85) (Table 2). The smallest sum of scores for the originality of verbal creativity (190) was determined in the informants' answers about the possible consequences (Question 4). The completion of this task also requires analytical thinking, imagination and logical insight. Despite the complexity of the task, every informant's answers included unique possible consequences of the given situation. The analysis of the research data revealed that the informants who possess high average grades also get high scores for the expression of originality (Table 2).

Information Literacy of the 3rd Year Students of Technology Education

The 3rd year trainee Technology teachers were able to answer a half of the test questions on information literacy (51 %) and that shows fairly limited skills of information literacy. It was noted that the third year students who had the highest average grades (10) also got the highest CI points for information literacy (0.58 and 0.61) (Table 3). The research results demonstrated that only the achievements assessed by the highest term grades have influence on information literacy.

The informants' CI scores were determined in the group of questions in the questionnaire – a test on the ethical and legal application of information (CI – 0.68). The 3rd year trainee Technology teachers are best at the complex ethics of applying information, and worst at the acquisition of information (CI – 0.34).

The analysis of the 3rd year trainee Technology teachers' information literacy revealed a relation between the total CI score of information literacy and information acquisition (the 2nd group of questions in the information literacy questionnaire) and assessment skills (the 3rd group of questions in the information literacy questionnaire): the informants of an average total information literacy CI (CI – 0.5) found it difficult to determine the strategies of information search and availability (CI = 0.1 – 0.3) (Table 3); the informants whose total information literacy is higher than the average CI are more able to determine the strategies of information search (CI = 0.4 – 0.7), to assess and select the target information and integrate it into the possessed experience of information (CI = 0.7 – 0.8) (Table 3).

Table 3. The Information Literacy CI, Verbal Creativity and Term Achievement Scores of the 3rd Year Students of Technology Education

Informant	Year	1 Perception of the goal and need for information	2 Determination of information search strategy and information acquisition	3 Information assessment, selection and management, integration of the selected information into the possessed system of knowledge and values	4 Information use and creation in order to achieve the target goal	5 Ethical and legal use of information	Total CI average of correct answers	Average term grade	Total score for verbal creativity
1	III	0.6	0.3	0.3	0.57	0.75	0.5	9.5	217
2	III	0.7	0.4	0.8	0.4	0.75	0.61	10	306
3	III	0.5	0.4	0.7	0.57	0.5	0.53	9.0	213
4	III	0.6	0.4	0.7	0.7	0.5	0.58	10	275
5	III	0.4	0.1	0.5	0.4	0.75	0.43	9.4	232
6	III	0.3	0.1	0.2	0.57	0.75	0.38	9.0	242

| 7 | III | 0.4 | **0.7** | 0.7 | 0.57 | **0.75** | **0.62** | 9.7 | **337** |
| Total | | 0.5 | 0.34 | 0.56 | 0.54 | 0.68 | 0.52 | 9.5 | 1822 |

The Relation between the Verbal Creativity and Information Literacy of the 3rd Year Students of Technology Education

The informants whose scores for the general verbal fluency (56; 57) and originality (185; 215; 235) were the highest in the group also had the highest average term grades (9.7; 10) and the general CI average fot the correct answers of information literacy (0.58; 0.61; 0.62) (Table 4).

The 3rd year trainee Technology teachers, whose points for the expression of verbal creativity are the lowest (120; 150), also got the lowest CI scores which do not exceed the average (0.5) information level (0.38 – 0.5) (Table 4).

One 3rd year student of Technology Education, whose expression of verbal creativity scored highest in the group (235), got a significantly higher CI score (CI – 0.7) in the group of determination of the strategy of information search and information acquisition (Table 3 and 4). A constructive search for information requires verbal creative originality which helps to create different strategies related to information acquisition.

Table 4. The 3rd Year Trainee Technology Teachers' Total Scores for the Expression of Verbal Creativity on the Basis of Creativity Criteria

Informant	Total verbal fluency	Total verbal flexibility	Total verbal originality	Total score for verbal creativity	Average grade	Total CI average for correct answers
1	45	**32**	140	217	9.5	0.5
2	**56**	35	**215**	**306**	**10**	**0.61**
3	**33**	35	145	**213**	**9.0**	0.53
4	**56**	34	185	275	**10**	**0.58**
5	50	42	**120**	232	9.4	0.43
6	51	41	150	242	**9.0**	**0.38**
7	**57**	**45**	**235**	337	9.7	**0.62**
Total	**348**	**264**	**1190**	**1822**	**9.5**	**0.52**

The skills of information assessment, selection, management and integration (the 3rd group of questions in the information literacy questionnaire) as viewed by the researchers as the most complicated ones. The research results show that the highest CI in the group of information assimilation skills was attained only by the informants whose total information literacy CI (0.58 – 0.61), verbal creativity score (185 - 235) and the average grade (9.7 - 10) were the highest in the group (Table 3 and 4). Information selection and integration into the possessed experience is a complicated holistic process which requires logical thinking, creative thinking and knowledge. The analysis of the research results conditions a "threshold" theory: the informants whose verbal creative originality is lower than 145 points have lower skills of information assessment and integration.

Conclusion

The 3rd year trainee Technology teachers, whose average term grades were the highest in the group (10; 9.7) also had the highest score for verbal fluency (57; 56) and verbal originality (235; 215; 185). The possessed knowledge and experience facilitate the successful expression of verbal fluency and verbal originality, yet, they are not a decisive factor of originality expression – high average term grades do not determine high scores for the

expression of creative originality. The informant who had the highest score for general verbal creativity also had the highest score for the flexibility of general verbal creativity (45). The tasks which require description of objects / phenomena are most favorable for the expression of fluency, flexibility and originality of the 3rd year students of Technology Education. Even though the task which required logical, analytical thinking and imagination did not reveal a high expression of the informants' creative originality, the statistic verbal creativity in this task was higher than the total statistic verbal creative originality of the informants.

Technology education 3rd year students were able to answer a half of the questions in the information literacy test. Only the informants with the highest average grade (10) got the highest scores of information literacy in the group. The informants are best at the complex ethics of using information, and worst at information acquisition (CI – 0.34). The informants who did not exceed the average (CI – 0.5) total information literacy CI had difficulty determining the strategies of information search and availability (CI = 0.1 – 0.3). The 3rd year trainee teachers of Technologies whose total information literacy is higher than the average were better at determining the strategies of information search (CI = 0.4 – 0.7), assessing and selecting the necessary information and integrating it into the possessed information experience (CI = 0.7 – 0.8).

The informants, whose scores for general verbal fluency (56; 57) and originality (185; 215; 235) were the highest in the group, also had the highest average term grade (9.7; 10) and the total CI average for the correct answers of information literacy (0.58; 0.61; 0.62). The research participants, whose score for verbal creative originality expression was the lowest, also got the lowest CI scores, which did not exceed the average (0.5) information level, for their information literacy skills. Constructive information search requires verbal creativity which facilitates the creation of different strategies of information acquisition. Information selection and integration into the possessed experience is a complex holistic process which requires logical thinking, creative thinking and knowledge. On the basis of the research results, there was a "threshold" theory formulated: the informants whose verbal creative originality is lower than 145 points have lower skills of information assessment and integration.

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RESEARCH AND PRACTICE INTO CULTURAL AWARENESS AND AUTHENTICITY

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Abstract

Ms. Otero's bachelor's thesis researched the issue of cultural awareness. Her advisor (and coauthor of the present article) recommended implementing the task-based approach as put forward by Willis (1998), which provoked an additional theoretical question over the use of a functional approach textbook within a TBL learning cycle.

This contribution presents the results from an introductory college class that carried out a project from a standard textbook lesson on health problems, which was expanded into a project on their own health issues. Dramatizations of their own scripting served as the tools through which the students represented their diverse world views on health. The recommendations and treatments they prescribed crystallize their critical thinking within the specific situations.

Keywords: Cultural awareness, task based approach, foreign language education

Introduction

A bachelor's thesis became the forum within which the issue of cultural awareness was researched and, moreover, served as the framework for putting the issue of authenticity under the microscope.

Main Text

The bachelor's thesis by one of authors of this article, Otero Sosa, researched the issue of cultural awareness, because she has always been interested in how persons from different cultures view those concepts that the state curriculum specifies concerning cultural issues. Her concerns include how the task-based approach can aid in breaking through those barriers derived from the stereotypes students bring to the classroom derivative of their diverse cultures. The broader concern is about how learning materials bring up cultural aspects and how students can learn and convey meaning through them. This question is about how language learning materials form part of the curriculum to promote intercultural awareness.

When she approached the other author of this article with the request to be thesis advisor, he recommended implementing the task-based approach as put forward by Willis (1998), partly to be consequent with his passion for Socioconstructivism, but also with the aim of putting to the test certain principles from the Whole Language movement which postulate that the language to be learned must belong to and empower the student. Thus, the messages they expressed in the experimental class would be enveloped in their cultures.

When the time came to consider how to carry out my experimental intervention, the practical issues involved brought us to an additional theoretical question over how Willis's TBL learning cycle can be implemented within a standard introductory course which had been built around a functional approach textbook.

But then, as we progressed in preparing the experiment, yet another issue pressed itself to the centre of our attention. The manner in which the relative amounts of learning achieved

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by the two groups was to be compared, made a central concern of how evaluation is carried within the Task-based Approach, insofar as cultural learning may be concerned. In fact, the final chapter of the thesis came to deal with evaluation and its principles — rather than the standard quantitative and qualitative statistical analysis reporting on the raw data collected. Rather than a Positivist model where the progress of a control group is compared against the progress in an experimental group, this investigation used a dialectical model that analyses an educational intervention within a single group.

Moreover, the advantages a discourse analysis approach to research can outweigh the disadvantages any lack of numerical findings could supply. The kind of qualitative data that discourse analysis provides about learning is much richer, deeper and, assuredly, long lasting. This assertion is derived from principles underlying the Socioconstructivist learning theory, the principles having to do with critical learning derived from personalization of the knowledge the student is to internalize. In any field, but especially when learning a language, students construct their own paradigms of its declarative and procedural aspects, as well as the conditions under which these are implemented.

Thus students must be involved in contexts in which appropriate and relevant activities create learning conditions. Students must feel, make connections, and infer meanings so that language becomes meaningful and then a paradigm shift comes implicitly. Students start to understand what the context is about, what is it for, and in which situations it may applied and used. Last but not least, by solving problems and tasks which lead them to negotiation, they can understand cultural aspects, learning which allows them to become tolerant and appreciate other cultures and interact in diverse situations.

Said interaction requires each interlocutor to put forward their own needs and worldviews.

The negotiation of meaning starts when they can discuss and find their own best solution to a given problem.

The Intervention

The interaction of these variables was analysed via an educational intervention adapted from Willis's learning cycle (1998) to one of the typical topics in a general language course written within the Functional framework, in this case everyday health problems.
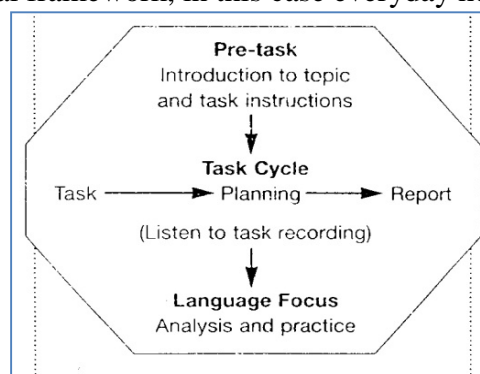
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This task-based sequence is brief and straightforward, but that certainly does not imply it is simple! The thematic warm up necessarily contextualizes the semantic field, so the culture of the target language may be introduced from the very beginning of the lesson. Later, the student comes back to that culture in the closing stage of Report. In between, the teacher gives instructions, and the students plan and carry the task out.

What is unique about this sequence is that the listening comprehension activity and language awareness come after the task has been fulfilled. So, by setting these aside for

afterward, it permits greater attention to the language and culture during implementation of the task.

With the aid of this model, the teacher was able to adapt that standard coursebook activity into a proper task per Willis. This college class carried out a task from the textbook's lesson on health problems, which was expanded into a project on their own health issues. Dramatizations of their own scripting served as the tools through which the students represented their diverse worldviews on health. The recommendations and treatments they prescribed crystallize their critical thinking within the specific situations.

The first step, or Pretask stage, was for the students to mime the coursebook's lexical items on health problems, such as *headache*, *stomachache*, *cough*, and *insomnia*. Then, volunteers wrote on the board health problem words they already knew, and the teacher assisted in writing them correctly.

Many students came to the front of the classroom randomly and they had to mime some health problem words so that their classmates could guess what the word was.

The second step, or While stage, was for the students to guess what the listening activity was about. The instructions were to infer what the context was; the model conversation in the recording was of a secretary and his boss. The students discussed in pairs and, after inferring the context, the recording was played twice again so students could write everything they heard in the conversation. Then the whole class was divided in two large groups; one of them followed the instructions to complete the tasks from the coursebook, the other group was assigned to write up home remedies, which was also an activity recommended by the coursebook.

As a post activity, groups of four created a poster mentioning medicines they recommended, what they were for, as well as how and when to use them. Students then presented the posters to the whole class.

Conclusion

This experience has shown how a bachelor's thesis can serve as a tool to study situated knowledge, a topic that is usually reserved for the theoretical clarity demanded of postgraduate theses.

The issue of evaluation pressed itself forward, apparently by circumstance, but in fact the concern about the means to evaluate learning obliged attention to the issue of what it is that is learned where culture is concerned. The students learned how to express themselves with the new words and/or structures. Moreover, it belonged to them. They expressed how it had a purpose for them and that they have the power to use the new language.

In this piece of classroom research, the preceding discursive features became the indices with which the thesis judged whether the students had learned this lexical field, one in which the students who made posters based on their home remedies were providing content derivative of their own cultures.

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FORMATION ENVIRONMENTAL COMPETENCE OF KAZAKHSTAN STUDENTS

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Abstract

The authors analyse the level of environmental competence of students and their role in solving ecological problems, as there is a threat of environmental hazard in many regions of Kazakhstan and worldwide.

Respondents are aware of environmental problems, however, they do not have a sufficient level of environmental competence and perceive ecological issues as scientific concepts and absolutely sure that their personal opinion has no effect on the solution of environmental problems, that it's beyond their control.

As a result, we specified that the most active part of society is young people at the age of 17 - 19 years old, directed to participate in environmental activities. The total analysis of all received questionnaire data enables to ascertain various levels of environmental competence among students.

Keywords: Environmental competence, environmental problems, students, environmental education, environmental activities.

Introduction

Ecological situation is gradually becoming a more significant development factor in all political and economical sectors of the country. Current environmental problems of the Republic of Kazakhstan are geographically complicated and diverse. Almost all current ecological problems of the country have cross-border features. The years of independence in Kazakhstan have become the setting up period for a new governmental system which would provide ecological safety, control environment protection and carefully monitor exploitation of natural resources. This has enabled the government to pursue a new policy of environmental protection and natural resources utilization.

However, during many decades, an extremely environmentally-stressful raw method of natural resources exploitation has been evolved in Kazakhstan. Thus, no visible improvement in the ecological situation and degradation of natural systems may lead to environmental abuse, which can affect the society. The Ministry of Environmental Conservation and Water Resources of the Republic of Kazakhstan states that approximately ¾ territory, i.e. 70% of total country area (2,7 million square km) is more or less vulnerable to desertification.

The main role in solving the above-stated issues belongs to future graduates who have to obtain specific environmental competence. One of the strategic goals of higher education is to develop a socially responsible and environmentally friendly personality, who could easily adapt to fast changes and sustain a further social growth by ecologically competent activities.

Using questionnaire authors revealed the actual state of environmental competence of students.

Methods used for the research comprise a literature review, theoretical analysis, supervision, conversation, synthesis of pedagogical experience, testing, questioning, pedagogical experiment, methods of complex research, methods of mathematical statistics, analysis of educational documentation, and analysis of creative works of pupils. The literature review clarifies the major concepts and issues relating to the identification of ecological competences. The European systems education consider that the acquisition of competences is a decisive factor contributing to the well-being of individual citizens as well as to social cohesion and to the development of the economy. This study confirms the importance of the development of ecological competences in the education systems of the county. We used the experience and survey research of the foreign and Kazakhstan scientists related to ecological education problems.

Environmental education can mean concepts in ecology, outdoor education, environmental science or instruction about issues (Ramsey, Hungerford & Volk, 1992). A primary goal of environmental education, though, is the development of responsible environmental behavior in citizens, both as individuals and societal groups (Ramsey & Hungerford, 1989). [7]

The United Nations designated the decade 2005-2014 as the 'UN Decade of Education for Sustainable Development' (ESD). Practices of environmental education (EE) are facing this changing policy discourse and practice and are challenged to find new ways to relate to it. [8]

Main Text

In the last decade, with implementation of Bologna process in higher education system Kazakhstan has been refocusing ecological education, switching from academic knowledge and skills transfer to the ecological competence and professional integrity of future graduates. Competence means the ability to apply knowledge, know-how and skills in a stable/recurring or changing situation. Two elements are crucial: applying what one knows and can do to a specific task or problem and being able to transfer this ability between different situations. A skill, however, she defines as the ability, usually learned, and acquired through training to perform actions that achieve a desired outcome.

Due to the current ecological education development, the meaning of individual ecological competence is coming to the fore. Nevertheless, the recent research on problems of key competencies has revealed low importance attitude towards the ecological component which is considered as less significant when selecting the educational content [1]. Moreover, current social and economical strategy is a sustainable development concept, which is adopted by a number of states including Kazakhstan, and emphasizes the importance of changing mind and lifestyle, in accordance with the ecological limitations.

Competent and effective students' responsibility requires the adequate knowledge, availability of practical experience including research skills and assessment of ecological issues, focusing on activity programming, cooperation with authorities, mass media, different social groups, introduction to the legal competence, etc. [6]

The students' active position towards any problem, their beliefs and concerns define the future. It is impossible to overestimate the importance of university students' role. Underestimation is likely to result in intensification of the problem. This has become a critical question for everyone and especially those who work in educational establishments. [2]

A university student is known for a higher involvement in tackling environmental problems by quick respond to guidelines to drive the process; students tend to be more ecocentric than the "Grown-ups". It is the youth who can help the "Grown-ups" today to make the world a better place to live.

Evidently, ecological competence could and should be considered from the following perspectives:

as a key "global" level competence (ability to maintain the human survival in general and develop ecological culture and ecocentric mind); as a comprehensive education competence, necessary for both general education graduates and for professional education graduates (including, but not limited by ecological education), aiming to develop ecologically intelligent person with an environmentally friendly culture, and able to change lifestyle.

as a specific competence within a special ecological educational course which prepares the future graduates for professional activities in ecology and natural resources exploitation.

The most ecologically active group is represented by the young people aged 16-21 with a number of specific contradictory tendencies. On one side, there is a variety of negative aspects including

- lower interest in the nature;
- pragmatic attitude to the nature;
- increase in ecological violations and nihilism.

On the other side, this age group is distinguished by several positive features:

- Interest in the root analysis of the explored phenomena;
-Widened scope of activities;
-Intention to participate in significant events;
-Growth in decision-making independence

It should be mentioned that in the nearest future these young people are going to define the community attitude, work at all authority levels, make decisions and influence on sustainability of society development.

Our questionnaire has shown the current state of young people's environmental responsibility. Finally, we intended to identify the influence of educational process on young people's ecological responsibility.

Young people's ecological responsibility was evaluated by following components:

1.Environmental self-awareness (personal involvement in practical solving of ecological problems)

2.Self-awareness of qualities which enable to solve environmental problems.

Academic knowledge and skills

Role of social responsibility

3.The education influence on motivation to solve environmental problems.

4.Experience in problem solving

Environmental self-awareness.

The respondents have shown a very high level of awareness. Thus, 81% of respondents were confident that practical involvement in solving environmental problems concerns them. At the same time, a little more interest was shown by female students.

It is known that people would rather agree with a positive decision than a negative one, that's the reason why all statements were duplicated and contained both positive and negative opinions. We compared the answers received which let us get a better idea on the opinions of younger generation. Though each 8 out of 10 surveyed realize the importance of personal involvement in solving environmental problems, only half of them shows coherence.

Self-awareness of qualities which enable to solve environmental problems.

Academic knowledge and skills

More than a half of responders (55%) believe that they have enough knowledge and skills to improve environment conditions. There was no difference in men's and women's answers (55%)

But at the same time, each six out of ten do not believe in their own power and almost three of them have a strong belief in that. In our opinion, they are the most significant and

numerous young people. However, to change the current situation it is ultimately important to consider those goals and methods, which teachers choose in developing ecological motivation.

Role of social responsibility

Only 1 out of 10 responders does not doubt that their words can be heard. 45% of responders believe that the current social situation let them impact on ecological problem solving i.e. they are socially active in solving ecological problem. Almost each fourth respondent is absolutely sure that their personal opinion has no effect in solving environmental problems, i.e. that it is beyond their control. The fact that 8 out of 10 respondents believe that ecological problem solving is of their direct concern means that teachers should work to involve students in the real process of actual ecology problems solving, which is vitally important on regional level. In educational process it is also necessary to create problem cases, where students could get more opportunities not only to share their opinion, research and simulate real-life situation, but also participate in execution of the decisions made.

The education influence on motivation to solve environmental problems.

The majority (74%) of responders believe that education received at school and university will help them to participate in practical solving of environmental problems. Also young ladies (76%) were more confident in crucial role of education, than boys (71%). The results prove that students are mostly positive and realize the significant influence of education on forming their motivation to participate in solving environmental problems; it also could be understood as an appropriate condition for ecological activities.

A rather high percentage (69%) believes that their studying in university encouraged them to strengthen motivation to participate in practical solving of environmental problems. Also each 6 out of 10 respondents showed that since they started studying environmental problems at the university, their motivation to take part in their practical solving has increased dramatically. As a result, education has encouraged their interest in solving environmental problems with teachers having a positive impact on this process.

Finally, we have to specify that only 35% of respondents have experience in practical solving of environmental problems, 54% do not have that experience, 11% respondents found it hard to appraise their participation in ecological activities. Obtained results show quite low rate of those who have practical experience in solving environmental problems. There were slight educational, gender, and location differences of no more than 1%-2%. These results let us state that ecological education at schools and universities focuses more on transferring the set of knowledge.   Only few teachers apply active approach techniques. Theoretical components prevail, while involvement of students in the process is not treated with enough attention. Knowledge is too "theoretical" and does not aim to develop skills to solve environmental problems. Moreover, 90% of students surveyed believe that during studying they should participate in practical solving of environmental problems. The most optimistic answers were the following: among all students the female students (92%) outnumbered men (88%) in their positive attitude to practicing environmental problem solving during their education. Obtained data confirm the necessity to orient ecological education on active involvement of students in environmental problem solving.   Teachers should select and implement those pedagogical techniques which combine theoretical study of environmental problems with practice.

The total analysis of all the answers enables us to identify various levels of environmental competence among students. The questionnaire results show that more than a half of students surveyed (55,5%) have high or a rather high level of ecological responsibility with the following features:

- Environmental self-awareness and necessity to participate in solving problems (If not me, who?);

- specific qualification, knowledge, skills and motivation to participate in process of natural resources exploitation, advanced critical thinking;

- an opinion which is heard (they realize that their ideas will be taken into consideration);

- extensive personal experience in environmental problem solving.

Environmentally competent students account for less than a third of respondents (29.1%). They understand their personal significance and are ready to participate in practical solving of environmental problems. But they do not always have sufficient knowledge and skills to deal with them and believe that their personal opinion has no effect on solving environmental problems, the practical experience of environmental activities is low.

At the same time almost every sixth participant of the survey can be characterized by a low level of environmental responsibility or a lack of it. They are the spiritless students without initiative, who deny necessity of personal participation in practical solving of environmental problems, and do not have enough knowledge and skills. They believe that their opinion makes no difference in environmental problems solving i.e. nothing depends on their opinion, they do not have ecological activity experience.

The obtained results demonstrate us the significant role of educational process in encouraging students to solve environmental problems. A large part of respondents (69%) believe that the university has encouraged them to participate in solving environmental problems. Moreover, they are outnumbered by those 74% who believe that education has a leading role in developing their will to participate in environmental problem solving.

Taking into account a rather low number of respondents (35%) who have practical experience in environmental problems solving during educational process, 90% of respondents consider that they should practice problem-solving in educational process.

The results indicate the necessity to enhance teaching methods in environmental education in order to mobilize ecological activity and form significant environmentally friendly personal qualities which could contribute to ecological competence of the younger generation [3].

Conclusion

The analysis results indicate to the necessity of enhancement of the teachers' methodical work in environmental education in order to mobilize ecological activity and development major ecologically significant individual qualities, contributing to the development of ecological competence of youth. [4]

It is necessary to reconsider the process of ecological education, distribution of theoretical and practical components in favor of the latter. It will contribute to the development of motivation ofenvironmental activities. This conclusion is confirmed by the opinion of some scientists. [5]

Therefore, it is necessary student's awareness to create healthy, clean, safe and socially comfortable human environment on the whole territory of our country.

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ACADEMIC WRITING SKILLS DEMONSTRATED IN UNIVERSITY STUDENTS' FINAL YEAR PROJECT REPORTS, AND IMPLICATIONS ON THE TEACHING OF ENGLISH FOR ACADEMIC PURPOSES, IN THE ARAB WORLD

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Abstract

This study highlights the academic writing skills that English as a Foreign Language (EFL) Arab students demonstrate in their final year project reports, and identifies the report's constituent features such as topics, rhetorical forms, layout and structures. The study also elaborates on how the design of English for Academic Purposes (EAP) courses targeting students with similar background may be informed by such findings. The methodology of the study is underpinned by needs analysis, a genre approach to teaching EAP, and syllabus design. At the University of Nizwa, in the Sultanate of Oman, students coming from an Arabic background learn EFL to be able to meet the requirements and challenges of studying through the medium of English. Based on the finding that the final year reports have similarities and differences in terms of conventions and rhetoric, the author argues that a wide-angle approach might be more appropriate to teaching the language skills that the students need for writing a final year project report.

Keywords: EFL, project report, academic writing, research skills, needs analysis, EAP

Introduction

This paper seeks to develop an insight in respect of the academic writing skills that Arab students, learning EFL, demonstrate in their academic courses, and the extent to which such skills may inform the design of EAP courses. Literature asserts that to be able to perform efficiently in academic contexts, EFL students should acquire a number of complex strategies and skills which are practiced in university content classes (Flowerdew, 2005a; Cotterall and Cohen, 2003; Shih, 1986 and Spack, 1988). Research (e.g. Johns 2006, Cotterall and Cohen 2003) also asserts that learners require instruction on general conventions and registers of academic genre. These include selection, evaluation and integration of sources into their own texts, bearing in mind that this "involves some of the most difficult expert routines" (Johns, 2006 p 171). Other research relating to university academic writing however, shows that there are potential discrepancies between the skills required for writing research assignments on content courses, and the skills taught on EAP courses.   These differences are particularly apparent when writing is analysed in terms of topics, process, audience, style, data collection and analysis, rhetorical mode, and student responsibility for the content (Zhu, 2004a, Spack, 1988 and Horowitz, 1986).

Like many similar Arab universities, the University of Nizwa in the Sultanate of Oman, English is a medium of instruction in academic majors such as Engineering, Business, Information Technology, Nursing and Pharmacy. The students, who are foreign learners of English, are required to perform different learning tasks using English as the language of communication and requires them to function effectively, often for the first time, with

different types of academic genre e.g. homework, exam papers, hand-outs, quizzes, workshop/lab reports, semester assignment reports and final year project reports. This means that students should have learned the conventions of academic writing during their language course. In order to develop a clear understanding of students' requirements within the academic writing domain, and provide the language course with first-hand information about what to teach those students, this study investigates student final year project reports, posing the following research questions:

What are the academic writing skills that university students demonstrate in their final year project reports?

What impact should that have on the design of English for Academic Purposes courses?

Literature Review

Attempts to close the gap between the skills required on content courses and those taught on EAP courses focused on the types of writing activities required in university classes, the types of rhetorical skills required to complete the writing tasks (Horowitz, 1986), the faculty reactions to students' writing, students' writing needs and students' perceptions of their needs (Leki and Carson, 1994), and the methods, challenges and possibilities of teaching research skills to English language students (Johns, 2006; Flowerdew, 2005a; Cotterall and Cohen, 2003).

It is asserted that in addition to reading and responding to texts in university content classes, students must be able to manipulate data from different sources such as interviews and questionnaires (Cotterall and Cohen, 2003; Spack, 1988; Horowitz, 1986). Students are also sometimes asked to formulate and test generalizations, observe and report significant details, or generate criteria for contrasting similar phenomena (Spack, 1988), and they may also be asked to connect theory to data that they have researched (Horowitz, 1986). The writing process in academic context includes strategies such as planning, prewriting, drafting, consulting, revising, and editing (Spack, 1988):

Planning is the assignment of tasks and timetabling study and composition.
Prewriting requires gathering, exploring, and organizing raw material.
Drafting requires the structuring of ideas into linear discourse.
Rewriting phases take place including revision, editing and proofreading (Shih, 1986).
Consultation to ensure aims and objectives are satisfied

In addition, university courses emphasise collaborative learning so feedback is provided by colleagues and/or peers in order that ideas are re-examined and reorganized. On many occasions, research projects and other types of tasks are carried out by a group of students (Zhu, 2004a&b; Davidson & Worsham, 1992 and Horowitz, 1986).

The implication of the nature of academic writing, as discussed above, for the EAP courses is that learners should be taught the research and report writing skills required in their majors. However, teaching research skills to EFL students is a challenging task. It should include helping "students to develop the motivation, confidence, self-reflection, and meta-awareness that will enable them to ask the right questions, make the right observations, select the appropriate genres, and take the necessary routes to task completion" (Johns, 2006 p 126). The practical experiences of Cotterall and Cohen (2003), Flowerdew (2005a), and Johns (2006) in teaching these skills confirms that before embarking on classroom instruction, teachers should have sufficient understanding of why their students want to learn English, what and how to teach them. Flowerdew (2005a) points out that needs analysis (NA) provides the rationale for the course, as well the syllabus. A course should help students develop the ability to develop an appreciation of: research context, topic and genre/texts; interaction with other people for data collection and teacher and peer feedback; writing process; and learners'

reflection. Providing students with authentic, non-textbook-driven, research topics helps in establishing a research context, given that real topics encourage students towards motivation and interest. As a result they feel that they write with a purpose and for real audience. Cotterall and Cohen (2003, p 163) argue that "an important aspect of planning the writing programme involved identifying appropriate texts for the learners to work with, given that many of the standard university texts were beyond their level of comprehension". Assisting learners to locate information and data sources helps them manage their time more effectively by making them focus on the writing process, rather than spending much of their time searching for sources (John, 2006; Cotterall and Cohen, 2003). Most importantly, as Johns (2006) argues, improving students' engagement with sources, develops their awareness of plagiarism. It also helps them facilitate the implementation strategies of acknowledgement of sources and framing of citations within their arguments. Examples of such strategies include paraphrasing, summarising and direct quoting. Students should also be provided with guidance on how to communicate and interact with live audiences such as people in a workplace situation (Johns, 2006; Flowerdew, 2005a). Interaction also takes place with peers in terms of receiving and giving feedback when peer and group correction occurs (Johns, 2006 and Cotterall and Cohen, 2003).

The text-based approach (Flowerdew, 2005b), and the scaffolding approach (Cotterall and Cohen, 2003 and Johns, 2006) used for teaching research skills sustains staged instruction so that within each stage, students are helped to acquire and develop a particular research requirement. For example, Johns (2006) implements three interrelated stages. Stage one of which is an information competence task through which students locate and evaluate sources. In stage two, students integrate the sources located in stage one. For learners, proceeding successfully through these stages requires rethinking of their reading plans and strategies for locating details necessary for their argumentations. Teachers, on the other hand, are required to be able to scaffold activities of modelling, providing feedback, and practicing. In stage three, students reflect on their work during the previous two stages. Reflection gives students opportunities for feedback on their growth as learners and researchers, by recording, discussing, and developing strategies for success (Johns, 2006).

Methodology

Research on academic writing suggests that the development of a true understanding of the writing produced by students in specific academic contexts would require a critical investigation of students' writings which can be achieved by collecting and analysing students' assignments in the target context (Shih, 1986 and Spack, 1988). This study analyses twenty one final year project reports collected randomly from three majors i.e. IT, Engineering and Business courses to understand their constituent features, e.g. topics, rhetorical forms, layout and structures using a genre analysis approach. Genre theorists assert that genre is used within a particular context to fulfil specific communicative purposes and address a specific audience, according to specific text features (conventions), content and organization (Swales, 1990). To recognize genre communicative functions, Dudley-Evans (1994) suggests using the direct and indirect linguistic evidence in the text and the analyst's prior knowledge about the underlying features of a text at both local and global level. There is a close relationship between the communicative purposes of a genre and its structure, or formal features (Bhatia, 1993b and Johns, 1997). Textual formal features or structure, as Johns (1997) explains, can refer to the macrostructures which can be known by headings e.g. introduction, methodology, data analysis, recommendation, conclusion, or by sentences and phrases, e.g. to conclude, I recommend. Therefore, this study inquires about the content and organisation of the final year project reports and seeks answer for the following questions. What is the content of the final project report? What are the communicative functions? Who is

the audience? What are the organisational features? What are the rhetorical modes and language functions? What are the information sources?

Analysis

It was stated, in the methodology section above, that this study seeks facts about the constituent features, e.g. topics, rhetorical forms, layout and structures of the final year project reports, using a genre analysis approach. For analytical convenience, information is collected below in five categories: research topic, problem and objectives; information sources and integration; audience and interactions; reports structure and organisation; rhetorical modes and language functions. Any texts between brackets [...] below are quotes taken from the final year project reports collated from IT, Business and Engineering majors.

Research topic, problem and objectives

Some of the analysed project report stated research problem, while authors did not but imply listing a number of project objectives. This difference may be due to the purpose of the project. For example, the IT students designed a computer programme, as a solution to a problem encountered by the university admin staff [there is currently no computerised system in the book store. There is a big difficulty in the process of managing borrows and returns operations and management of book purchase orders. We are developing a system that will control this process]. On the other hand, the electrical and electronic devices designed by the Engineering students were not solutions to any existing problem, but a practical administration of their ability to design such tools [the major objective of the project lies in the design process]. However, this should not mean that the IT and Business projects were more problem-solution oriented than the Engineering project. Problem-solution oriented writing, as Zhu (2004a) explains, requires students to analyze information, identify problems, recommend solutions and justify recommendations. The projects of the three specialisations were problem oriented in the sense that they required students to analyze information, identify problems, recommend solutions and justify recommendations even though this phenomenon was more explicitly stated in some of the IT and Business reports than in the Engineering ones.

It should be recognized that the ultimate goal of the projects of the three majors remains institutional, not for solving a real problem as such, but fulfilling an assessment requirement. This suggests that the students were performing as learners rather than businesspeople, engineers or computer program designers.

The indication for the EAP course, then, is that learners should be provided with research topics presenting real life topics and the topics found in their majors. EAP students prefer to practice writing in the language classes on topics relevant to their specialisations rather than on general topics (Johns, 2006, Flowerdew, 2005a, Cotterall and Cohen, 2003 and Leki and Carson, 1994). The tasks also should not be topic oriented, as this requires the tapping of information from personal experience or library research, but should be problem oriented which fosters an analytical approach, gathering and analysing information from different sources to solve the problems posed (Zhu, 2004a).

Information sources and integration

The analysis of project reports proves that students were required to perform finding, selecting, and synthesizing sources, a finding on which the study concurs with Horowitz (1986), Spack (1988) and Leki and Carson (1994). The analysed reports also required the utilisation of library and research skills because students deal with information from both primary and secondary sources. Furthermore, this study demonstrates that the extent to which such skills were required across the three specialisations (IT, Business and Engineering) was

determined by the nature of the specialisation and the research topic. For example, in the Engineering reports, data collection was conducted and details about the required device were assembled in order [to satisfy the potential customer needs]. The analysis was presented in timetables, diagrams, pictures and formulas explaining, rationalising, and illustrating the design of the instruments i.e.[automatic generator controller for power failure], [plastic welding device] and [electronic digital interruption counter]. Regarding the IT project, the data used in the design of the new computerized system was collected from the end users. Some reports included no data analysis in the form of tables, diagrams, formulas, etc. because the data was only meaningful in terms of providing ideas about what the end users were going to use the programme for and the different functions it should offer.

In some of the Business project reports, data was collected through surveys and interviews as primary sources. Participants included experts, employees, employers, businessmen and managers from different work places. Information was also collected from secondary sources e.g. books, magazines and websites. The data was analysed and presented in the form of tables, charts, pie/bar diagrams and statistical tools such as mean, mode, percentages, and averages. These styles were combined with short explanatory paragraphs [the above table presents the percentage distribution of respondents according to five age groups in the three types of organisations. 40% of the respondents belong to the age raining from 31 to 40. It constitutes the highest proportion of the total respondents from Ministry sector. 53% of respondents come from private sector and 40% are self-employed belonging to the age group of 21-30, constituting the highest proportion of respondents]. A pilot study was also conducted where corrections were made and a sampling of respondents was decided.

Audience and interactions

The study finds that some of the reports were collaborative, conducted by more than one student (between 2 and 5), and some were presented individually. Like Zhu (2004a), Canseco and Byrd (1989), this study finds that the projects of the three specialisations required collaborative work. Teamwork in academic discipline aims at preparing students for real-world tasks. Students should develop the skill to interact and negotiate expertise with other members of the team, and contribute to team effort (Johns, 2006, Flowerdew 2005a and Zhu, 2004a). In addition to their fellows and tutors, students interacted with people outside the discipline. The end users of one of the IT projects [design of an attendance system] were not only the supervisors who assessed the students' work but also other college tutors and administrators. There was a manual enclosed with the programme to which users could refer for guidance. The librarians, who were the users of the library system prepared as an undergraduate project, revealed that the students interacted with them at different stages to obtain information, which was helpful for the design of the software and trained them on its use. The Engineering students were also taught to take into account potential end users. It was explained earlier in (1) that the Engineering reports included data collection in which information about the required device, from end users' perspective, was assembled. Nevertheless, those devices were not designed to fulfil the requirements of any particular customer. In fact, the customers mentioned in the quote (in 2 above) were imaginary, mentioned only as a research requirement. The indication of audience awareness for the EAP is that students should be enabled to deal with an audience other than their teachers. Zhu (2004b) asserts that faculty members stress the importance of audience awareness as an academic writing skill.

Reports structure and organisation

In terms of organisation and layout, the reports of the three specialisations had some similarities and differences, as illustrated in table one in the appendix. As to the similarities,

all reports have a title page, table of contents, abstract, acknowledgement, chapters, references and appendices. The organisation of those sections differs across the three specialisations.

As to some of the differences, the Business reports were different from others, in that chapter 3 was about the methodology and chapter 4 was on data analysis. The IT project reports devoted chapter 3 to discussing the design of the new programme and chapter 4 to its use. The Engineering reports assigned chapter 3 described the design process while chapter 4 was a conclusion. There were some differences among the Engineering reports as well. Some reports were organised chapter-wise, others into sections e.g. introduction, planning, materials, design etc. Furthermore, some reports included action plans, others did not. Chapter 1 in all reports gave an introduction into the research and its context. Chapter 2 in most of the reports were literature reviews while in some literature review was embedded in chapter one.

The variations in the structure and layout of the project reports included in this study may be due, in addition to the differences in the nature of data and information, to the way the tutors inform the students about the projects. In one of the majors, students were referred to shared convictions as a model provided by the faculty. There were similar convictions in another specialisation but less detailed. The project tutors explained that they asked the students to follow a certain layout but this was neither written nor taught. In one of the majors, there was neither a research methodology course to attend nor a particular report layout to follow. Each teacher had their own style, which was conveyed to students through verbal instruction. Therefore, reports of the same major differed among themselves in terms of layout and content. Dissimilarity in academic genre structure is reported by previous research e.g. Hopkins and Dudley-Evans (1988) and Flowerdew (2000). The latter even finds that reports belonging to the same genre, i.e. mechanical engineering final year projects, differ in terms of structural pattern.

Rhetorical modes and language functions

It should be clarified that an inclusive linguistic analysis of the project reports is beyond the scope of the study. Each of the analysed reports combines several rhetorical modes and moves from one to another purposefully, a finding that the study shares with previous research i.e. Zhu (2004a) and Flowerdew (2000). Besides, each of the project reports analysed in this study seem to contain a number of language functions that were used to serve various communicative purposes. Language functions refer to what Swales (1981) called moves and steps, actually meaning "the purpose for which an utterance or unit of language is used" (Richards and Schmidt, 1992 p 214). Some examples of language functions in these reports are: definition, appreciation, description, listing, narration. Functions within these reports can be recognized by the general structure of the reports.   For   example,   the   heading [abstract] at the top of the page refers to a section contains main ideas and provides a summary of the study. Similarly, the section entitled [summary] at the end of the report provided a conclusion summarising the report. It should also be acknowledged that each main section or even some subsections contained more than one language function. For example, the [abstract] starts with background information providing a kind of rationale for conducting the project, e.g. [as everyone knows libraries are one of the main sources of information of different subjects. Libraries may face some difficulties in keeping their items safe. Therefore, different systems have been developed to keep libraries and their content secure. Our project, generally, deals with library systems including searching for items, borrowing, returning, and paying fees]. Then, it summarised each stage of the project for example, [our project consists of four stages. They complement each other]. The abstract also contains narration about what the students did at some stages e.g. [after we implemented the designed device we moved to the testing phase].

In addition, there were certain language functions occurring interchangeably in the three specialisation reports. For example; a statement of gratitude, definition, description, narration, conclusion, exemplifying, and listing. This might suggest that there were some generic language functions used by all majors. Previous research on the business (Zhu 2004a), and engineering genres (Flowerdew, 2000 and Swales, 1990) report similar language functions. For example, Zhu (2004a) reports that in a business genre, a problem-solution mode is combined by narration, comparison, process, enumeration, and description, while the engineering genres contain background information, explanation, exemplification, deduction referencing, justification and recommendation.

To sum up, the IT, Business and Engineering final year project reports are research-based genres. They include some similarities and differences in terms of topics, audience, content, organisation and layout. This should inform EAP design as will be discussed in the forthcoming section.

Discussion

The analysis of the final year project reports presented in the previous section evokes two argumentative issues: one relates to the research nature of the projects, the second to the differences and variations within such genres. To start with, research, as specialists assert, is a systematic process of inquiry, which consists of secondary and primary research and includes statement of a research problem, hypotheses, questions; data collection, data analysis and interpretation and conclusions (Robson, 1993 and Charles, 1995). The constituent features of the investigated project reports, as pointed out in the previous section, include project problems or objectives, secondary and primary research, data collection, data analysis, interpretation, discussion and conclusion. This finding aligns with the previous research findings, of Canseco and Byrd (1989), Leki and Carson (1994), Leki and Carson's (1994) and Zhu (2004a & b), that assignments in university classes are research based rather than personal experience oriented and that university students deal with intellectually stimulating and demanding subjects and complex writing assignments incorporating multiple sources.

However, the major project reports analysed in the study are not identical but witness some differences and similarities. From genre theory perspective, differences and variations within genre are meaningful, purposeful and have pedagogical significance. Differences in terms of audience, style, features, lexis, register, etc. are normal consequences of having different personal and institutional writing purposes. Therefore, variation is just as important as similarity because they enable writers to expand their understanding of the discourse community, enlarge their portrait of the target audience and develop sufficient writing skills that are more likely to be useable in new writing experiences and contexts (Hyland, 2003). Such theoretical orientation has its underpinning impact on EAP courses specifically from the point of view of narrow-angle and wide-angle language courses.

This spectrum of narrow-angle/wide-angle course, suggests that the more situation-specific or discipline-specific the students' target needs are, the narrower angle is the course, and vice versa.   In other words, narrow-angle courses are discipline-specific and cater for learners with clearly defined English usages and tasks in a given context. Wide-angle courses, on the other hand, accommodate learners with less clearly defined eventualities (Widdowson, 1983 and Bruce, 2005).   A wide-angle EAP course should, then, teach generic research skills such as, research questions, data collection, and data analysis. However, in terms of course objectives, an EAP course preparing academic students to do final year reports might state that at the end of the course, students will be able to:Write research questions on a given topic.

Read printed and electronic resources critically as part of literature review to use others' information and ideas in one's own report.

Acknowledge and document precisely the information/ideas extracted from printed/electronic resources.

Design a questionnaire and interview questions and administer them to a number of participants in order to collect data for assignments.

Analyse using charts, tables, diagrams, etc. the data collected by research tools.

Interpret the analysed data in order to provide an explanation for the phenomenon investigated in the research.

Monitor, check and revise or edit one's own work and that of other course participants and give feedback.Write a multi-section research report that consists of: Introduction

Literature review; Analysis and interpretation; Conclusion

Reference list; appendices

Conclusion

In EAP syllabus literature there are two important questions to ask: what is to be learnt? And why is it to be learnt? The answers to these questions are informed by NA and research findings (Watson Todd, 2003; Flowerdew 2005a and Hutchinson and Waters,1987). The main message this paper would promote for any other EAP is that Arab students doing final year project reports should attain a number of complex academic research and writing skills, some of them are discipline-specific but others generic. It is hoped that the analytical framework implemented in this paper, which is underpinned by EAP, genre analysis approach, syllabus design, and NA might be generable to similar context.

Further research might be conducted to explore EAP teachers' readability in order to teach research and report writing skills to EFL EAP learners. For educational change to be implemented successfully, teachers' attitudes, training needs, understanding of the change etc. have to be accounted for (Waters and Vilches, 2001; Wedell, 2003 and Riley, 2000). Second, further research might be conducted on the effectiveness of an EAP course teaching research and report writing skills. Specialists in syllabus design e.g. Hutchinson and Waters (1987), Holliday (1997) confirm that neither needs identification, nor change implementation, is the end of the story for innovation implementation. Therefore, course evaluation should be considered carefully to insure successful employment of the EAP course.

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Table 1: some of the Content and Organisation of Final Year Project Reports in Business Studies, Engineering and IT.

IT		Business		Engineering	
Section	Content	Section	Content	Section	Content
Title page	Institution name & academic department; Date; Title of the report; Names of the students & assessors	Title page:	Institution name & academic department; Date; Title of the report; students' names	Title page	Title of the report
Table of contents	report headings, subheadings and page numbers of the	Page 2	A statement that the work is submitted as a partial fulfilment of requirement of undergraduate course; Assessors' names	Certificate	A statement signed by the supervisor & head of department certifying the originality of the work done by the students
Acknowledgments	Thanks to persons and establishments that provided help	Table of content	Listing the headings and subheadings and page numbers of the report	Title	title of the report; A statement that the work is submitted in partial fulfilment of undergraduate course in mechanical engineering
Abstract	A summary of the project topic	Acknowledgments	Thanks to persons and establishments that provided help	Abstract	report topic; the college in which project takes place; project objectives; summary of the different phases of the project; Summary of conclusion & recommendations
Chapter 1	Description of the project team; Description and analysis of the project problem & data collected by interviews; significance of the new programme	Chapter 1	Introduction into the context of the study; Statement of the problem; study objectives; Scope and limitation of the study; Layout of the study; A list of the terms	Chapter 1	report objectives; theoretical introduction to the topic & an outline of the different phases of the practical work; Project plan
Chapter 2	Analysis of new system requirement	Chapter 2	Literature review	Chapter 2	Discussion of process and devices
Chapter 3	Discussion of the new system design, structure and use.	Chapter 3	Research methodology: design; respondents; instruments (questionnaire); Analysis	Chapter 3	Description of the process
Chapter 4	Discussion of how the new programme operates; presentation of material required for training potential users	Chapter 4	Data analysis and finding presentation (Tables and charts are used)	Chapter 4	(conclusion): Students' reflection on the work; Summary of the different phases of the project; recommendations
Conclusion	Summarization of the project rationale, project significance; what the students learned	Chapter 5	A summary of the findings, recommendations and conclusion	Appendices	Supplementary material
References	A list of the sources	References	A list of the sources	References	A listing the sources
Appendix	a printout of the new programme coding system	Appendix	Charts; Pictures & downloads; A copy of a formal letter; A copy of the questionnaire used in the study		

ACADEMIC COMPETITIONS: PERCEPTIONS OF LEARNING BENEFITS FROM A SCIENCE BOWL COMPETITION

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Abstract

The National Science Bowl® emphasizes a broad range of general and specific content knowledge in all areas of math and science. The achievements made through the science bowl experience are independent of the classroom environment and generally occur because the student has volunteered on his/her own to enter the competition and be part of the team. An important question to ask in light of the effort it takes to run regional or national science competitions is whether or not the event makes a difference to the student. And if it makes a difference, does it improve student learning or student attitudes about science. The data indicates that a statistically significant portion of the students competing in the Northern New England Regional Science Bowl Competition report that the event has a positive impact on the participants and fosters learning in science and mathematics. These data support findings that have been reported for other forms of academic competitions that are involved with science and mathematics.

Keywords: National Science Bowl®, Academic competition, learning

Introduction

Since 1991, the Department of Energy's (DOE) National Science Bowl® has been sponsoring annual regional and national competitions for high school students across the United States, Puerto Rico, and the U.S. Virgin Islands. This program was started to encourage students to increase their participation in math and science and to consider careers in those fields. In 2002, the competition expanded to include middle schools. These competitions feature teams of four to five students answering multiple choice and short answer questions in the areas of Science, Math and Technology. There are currently 67 regional high school competitions and 36 middle school regionals. The high school competitions involve more than 15,000 students and the middle school more than 6,000. The winning team from each regional event is invited to Washington D.C. to compete against the winners of the other regional events.

The National Science Bowl® emphasizes a broad range of general and specific content knowledge in all areas of math and science. The achievements made through the science bowl experience are independent of the classroom environment and generally occur because the student has volunteered on his/her own to enter the competition and be part of the team. However, each team must have a coach, which can be a parent or other interested person, but is usually a high school science teacher.

An important question to ask in light of the effort it takes to run regional or national science competitions is whether or not the event makes a difference to the student. And if it

makes a difference, does it improve student learning or student attitudes about science. Abernathy and Vineyard completed a study of students competing in the Science Olympiad published in 2001 asking students why they participated in the event. The number one reason for participation in the Olympiad was because they felt it was fun. The number two reason for participation was because they enjoyed learning new things. These findings were true for both male and female participants (Abernathy & Vineyard, 2001). In this case the participants seem to be saying that they think learning science and math is fun! Abernathy & Vineyard suggest that competitive events "may be tapping into students' natural curiosity and providing a new context for them to learn in, without rigid curriculum or grading constraints" (2001, 274).

It has been suggested that the competitive events, such as the National Science Bowl®, may provide the "initial motivation" that is the spark for getting students to discover the joy of learning (Ozturk & Debelak, 2008). Academic competitions can provide motivation for students to study and learn new information or strengthen previous learned material so that they will be ready to compete with their peers from other schools both regionally and nationally. This type of motivation is difficult to provide for students in a normal classroom environment. While it can be argued that this is solely extrinsic motivation and not the best thing for students to be dependent on, it can however, provide a starting point for the student to progress into an intrinsic discovery of the joy of learning science and math.

One of the more important affective benefits of students participating in competitions such as the National Science Bowl®, is that the participants who may be the elite members academically within their home school (big fish in a little pond) get to test their knowledge and skills against the students from other schools who will be their peers once they get to college and then into the world of work. Ozturk and Debelak put it this way; the students "learn to respect the quality of work by other children and to accurately assess their own performance in light of the performance of their intellectual peers. They achieve an accurate assessment of where their level of performance stands in the world of their intellectual capacity and, in turn, develop a more wholesome self-concept" (2008, 51). Developing a more accurate self-concept is an important step for a child to go through on their way to becoming a healthy and mature adult. In the case of elite students who have never faced stiff competition or challenges to their academic abilities, this is often a difficult trait for educators to help students develop in their home school situation.

According to Ozturk and Debelak, "Academic competitions can teach children how to succeed and also how to fail, that is, how to face their failure, learn from their failure, and, subsequently, grow as a person and improve in performance" (2008, 52). This again may be one of the most important aspects of intramural academic competitions that cannot be easily provided to students in a normal classroom environment, learning to fail and being able to cope with the self-esteem and emotional aftermath. Being thrust into a situation where the participant must cope with failure (even after they prepared and did their best), promotes the development of a student's self awareness. Academic competitions such as the National Science Bowl® and its many regional competitions may provide the type of environment that causes students to reflect on their knowledge and abilities and self-evaluate their image, promoting improved personal growth and development for the participants.

There are numerous reports of how over the top competitiveness can cause anxiety and undue stress (see for example Davis and Rimm, 2004). We all can remember our psych 101 course describing things such as test anxiety and how this can affect student performance and achievement and lead to low self-esteem. Davis and Rimm also report that competition can promote high levels of achievement and productivity. Some students seem to need to compete with others in order to push themselves to produce at a higher level. It would follow that well organized competitions such as the National Science Bowl® and its many regional

competitions, could help to promote high levels of achievement and productivity in the participating math and science students. Part of the increased levels of achievement and productivity may be due to an increase in teamwork and study skills promoted by the participation in this type of academic competition. Bishop and Walters (2007) report that the students involved in competition increased their abilities to be leaders and team players. They further report that academic competition teaches the participants "how to study, how to communicate, and how to effectively manage challenges" (2007).

What do the students get from this competition?

Methodology

A survey was developed to give to the students who compete in the Northern New England Regional Science Bowl Competition that was intended to gather information about what type of impact the students perceive the competition has on them and other students. The questions were developed by the regional science bowl coordinators and distributed to the students on the actual day of competition that takes place in late February or early March of each year. The students in the Northern New England Regional Science Bowl Competition come from the three northernmost New England States, Maine, Vermont and New Hampshire. The competition is an extra-curricular activity and so the students in grades 9 – 12, have self-selected to be part of a team to practice and compete during non-school hours. Due to the self-selection process, it would follow that the students making up the teams are the better academic students who have found previous success in Math and Science. These students tend to like math and science and are pre-disposed to participate in activities involving these subjects. The teams of students come to the University of Southern Maine on a Saturday to compete in a one day event that culminates with a single elimination tournament round with the winner being offered an all expenses paid trip to Washington D.C. to compete with other regional winners for the national championship. It is during this one-day event that the students are given the survey and asked to respond to the questions below. Completing and returning the survey is voluntary, although the students and coaches are encouraged to do so to make the competition a better experience.

The Instrument

The first part of the survey was constructed to get some general background information about the students and their role in the day's competition.

This section was a simple checklist of:

This is my first experience

I've been at previous science bowls here

I was a volunteer today

I am a spectator/guest

I was one of the student competitors today

I am a coach of one of the teams

The next set of items was intended to gain insight into the students' perceptions of how the regional competition affected the students taking part in the day's activities and events.

The questions consisted of 3 Likert-type response choice items:

I think this competition had a positive impact on the students:

Quiz competitions foster student learning about science and mathematics:

Quiz competitions are stressful in a negative way:

Each of these questions had a five choice scale that ranged from strongly agree to neutral to strongly disagree.

There were also two open ended questions:

The thing I enjoyed most about today was:
What I would recommend for next year:
And finally a yes – no question of:
I'd like to come back next year:
(See appendix A for a copy of the actual survey used)

Findings and discussion

For the purpose of this study, we started collecting data during the 2004 Northern New England Regional Science Bowl competition and continued to collect data through the 2009 regional. This longitudinal approach has provided six years of data composed of a constant mix of new and returning students. Throughout the course of the study, there was an almost equal distribution of first time and returning students who responded to the survey. Although the survey was distributed to students, coaches, and other volunteers who took part in the events, only the results of the students were used as part of this report. The voluntary nature of conducting the study produced an average of 15% of the students per year completing and returning the survey.

In 2007, Bishop and Walters discussed the viability of using a similar survey with students that also used a Likert-type scale to self-report information about how the National Ocean Sciences Bowl (NOSB) influenced their choice of major and courses in college. Bishop and Walters further triangulated their data using follow-up interviews of the students, information of the colleges the students attended and lists of the college courses the students took following their participation in the NOSB. Their longitudinal study, which took place from 2000 – 2007, established the credibility of the students' self-reported data using this type of survey (Bishop and Walters 2007) and so we feel confident in the credibility of the data collected in the study reported here.

Of the students participating in the Northern New England Science Bowl who responded to the survey during the study period 93% either agreed or strongly agreed that the competition had a positive impact on them.

Year	2004	2006	2007	2008	2009
mean	4.1	4.7	4.8	4.3	4.7
SD	.60	.42	.40	1.1	.45

Table 1: Based on a 5 point Likert scale with 5 being the highest.

Campbell & Walberg (2011) suggest that this positive impact follows the students throughout their life. Willingness to participate in events on their own time, especially on the weekend, demonstrates a high level of positive engagement that would lead to feelings of positive impact. Akey (2006) reports that "student engagement and perceived academic competence had a significant positive influence" (p 16) on achievement. The significant data that was self-reported by the students seems to indicate that the students also perceive that they are academically competent in math and science, and that is why they participate. This mirrors the findings of Abernathy and Vineyard (2001) who reported that academic competitions tap into the natural curiosity of students and provide an arena for them to learn new things. The Science Bowl event could provide the platform for these students to excel and finally get the recognition they deserve and crave. Further, Ozturk & Debelak (2008) report that academic competitions may provide the motivation to find the joy in learning. Curiosity and motivation are important aspects of learning that would be considered as having a positive impact on the lives of the participants in academic competitions like the National Science Bowl®.

In addition, 91% of the students responding reported either they agreed or strongly agreed that the Regional Science Bowl competition fosters student learning in Science and Mathematics.

Year	2004	2006	2007	2008	2009
Mean	3.9	4.6	4.8	3.8	4.6
SD	.98	.49	.40	.98	.49

Table 2: Based on a 5 point Likert scale with 5 being the highest.

Again this appears to support the research done by Abernathy and Vineyard (2001) that academic competitions provide a forum to stimulate the students' natural curiosity about learning new things and also the work of Ozturk and Debelak (2008) concluding that academic competitions may provide the motivation required to get students started on a path to discover the joy of learning.

In this case it seems to be learning in Science and Math.

The high positive response rate of these two questions appear to indicate that the student participants in the Regional Science Bowl Competition are developing a strong positive sense of self. These responses indicate that the participants are reflecting on their experiences to help develop a more complete self-image and perhaps an increased sense of their personal competence. Bishop and Walters (2007) report that an enhanced sense of personal competence or capability "translates as a very high factor influencing career choice." Continuing this further, it would follow that academic competitions such as the National Science Bowl® and its associated regional competitions which appear to promote an increased sense of personal capability in the participants would in turn be an experience that positively influences the students' career choice.

Interestingly, the same students who reported that the Science Bowl competition has such a positive effect on them in general and a positive effect on their learning did not necessarily think the competition was unstressful. Only 61% disagreed or strongly disagreed that the quiz competition was stressful in a negative way.

Year	2004	2006	2007	2008	2009
Mean	2.3	2.0	2.1	2.6	2.1
SD	.79	.69	1.17	1.02	1.1

Table 3: Based on a 5 point Likert scale with 5 being the highest.

Maybe it was the way we worded the question that they students equated quiz with test and thus tended to rate this question neutral to correct. It could also be that the students equate any kind of stress with being negative and so if they perceived that the competition created any level of stress no matter how small, that this was a negative situation.

In the open-ended question that asked what they enjoyed the most about the Science Bowl, the number one response was competition, the second highest response was meeting like-minded people, and the third was the hands-on activities. These students seem to be saying that they feel that testing their knowledge and skills in Science and Mathematics against other similar ability students is fun! Maybe this is because they are beginning to respect or realize the quality of their work as suggested by Ozturk and Debelak (2008). It has been suggested that academic competitions (such as the Science Bowl) give students the opportunity to compete mentally the way athletic competitions allow them to compete physically (Parker, 1998). Maybe this is because that these students get the same kind of "high" that athletes get during competition, and that the thrill of academic competition releases endorphins much the same way that athletic competition does.

Summary

The data indicates that a statistically significant portion of the students competing in the Northern New England Regional Science Bowl Competition report that the event has a positive impact on the participants and fosters learning in science and mathematics. These data support findings that have been reported for other forms of academic competitions that are involved with science and mathematics. (See Campbell and Walberg's 2011 studies of the Science Olympiad). Such self-reporting indicates that the students have a high level of perceived personal competence, a high level of engagement in math and science activities and

a high level of motivation toward these academic subjects. Competence, engagement and motivation are factors that have been reported to strongly promote academic achievement, personal growth and career choices in those areas. If the education community is seeking to increase student interest and participation in science and mathematics majors and in turn science and mathematics careers, then academic competitions such as the National Science Bowl® may be an important part of the overall stimulus package that makes this happen.

Recommendations

With the release of recent papers such as "Steady as She Goes? Three Generations of Students through the Science and Engineering Pipeline *" (Lowell, et al, 2009) we feel an ethical responsibility to continue the investigation of whether or not science competitions represent meaningful positive contributions to the experience of students. We recommend surveys for all the National Science Bowl® middle school and high school science bowl competitions. The surveys should be standardized, with optional regionally-based questions, and should be part of a designed study that can inform future science bowl decisions. The surveys should also be followed up by a focus group interview that could provide greater depth to our understanding of the findings.

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Comment Card for Volunteers: Please be sure to fill out a comment card and turn it in at the registration desk, even if you are not here for the entire competition. This will help us do a better job

Northern New England Science Bowl   2009

Comment card.   Please turn in at registration table before you leave today.

__This is my 1st experience   __I was a volunteer today

__I've been at previous science bowls   __I am a spectator/guest

__I am a coach of one of the teams

I think this competition had a positive impact on the students

__Strongly Agree   __Agree   __Neutral   __disagree   __Strongly disagree

Quiz competitions foster student learning about science and mathematics

__Strongly Agree   __Agree   __Neutral   __disagree   __Strongly disagree

Quiz competitions are stressful in a negative way
__Strongly Agree   __Agree   __Neutral   __disagree   __Strongly disagree
The thing I enjoyed most about today was:_____
What I would recommend for next year is: _____
I'd like to come back next year: ___ yes   ___ no

INTEGRATING SOCIAL SCIENCES AND HUMANITIES IN MEDICAL EDUCATION: A CASE FROM PAKISTAN

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Abstract

Relationship between medical education and social sciences and humanities is an emerging field within health and medical sciences. How social sciences and humanities (SSH) consider their role in professional education in general and medical sciences in particular is yet to be explored jointly and systematically. This paper presents, as a case, how a private institution in Karachi, Pakistan, has consciously and systematically integrated SSH in its undergraduate and graduate education programs. SSH in this institution is grouped into two initiatives – Bioethics, and Humanities and Social Sciences. The paper describes what has been achieved over the last twenty years, including the challenges faced and overcome. It will explain how it became possible for the institution to go beyond the traditional practices of focusing only on medical sciences. Finally, the challenges faced in building partnerships between medical and social sciences will be discussed. Following an introduction that outlines the vision and mission of the institution that provided the space for integrating SSH in its medical education program, both at the undergraduate and graduate levels, the paper describes the content, pedgagical approaches, challenges and the way forward for (1) teaching of humanities and social sciences, (2) bioethics and (3) behavioural sciences in the undergraduate medical curriculum; and (4) social sciences in the Masters program of Community Health Sciences Department.

Keywords: Social sciences and humanities (SSH) ,Ethics, Medical Education

Introduction

Aga Khan University (AKU) is a private university with a mission to serve the developing world. It has eleven campuses spread across eight countries and three continents. This paper focuses on experiences at the Medical College, which was established in 1983 as a part of the Aga Khan University's Faculty of Health Sciences in Karachi, Pakistan. AKU's Medical College strives to train health professionals who will be leaders in the field, equipped with the necessary knowledge and skills required to address the healthcare needs of Pakistan and other developing countries.

A good health professional is more than just a competent nurse, good diagnostician, skilled surgeon or gifted scientist. In addition to technical knowledge and skills, a good health professional must also be equipped with the knowledge, skills and attitudes to critically analyze situations, reason morally when presented with ethical dilemmas and work in culturally diverse environments.   These concerns were part of the discourses on medical education in UK and the US. For the development of holistic medical/health professionals with both technical and humane judgment skills, humanities and social sciences were marked

as the need of medical education in UK (Macnaughton, 2000). The North American model of a pre-requisite of completion of a four year undergraduate liberal arts degree prior to enrollment in a four year medical school is well-established. This discourse was active by the time the AKU Medical College enrolled its first cohort of students in the five year undergraduate medical program in 1983.

The regulatory body of medical education in Pakistan, Pakistan Medical and Dental Council (PMDC) required the inclusion of Islamic and Pakistan Studies in the medical curriculum, AKU began to fulfill these requirements under the guidance of its Chancellor and Board of Trustees, and its founding administrators and faculty. The institution thus benefited from wisdom and cumulative years of diverse experience of its founding fathers that helped to chart an unprecedented course in Pakistan and more importantly, as the first private medical college in Pakistan. This was a bold and creative exercise to implement a unique vision of an international Islamic university committed to excellence in teaching and research, and leadership development. Thus, the idea of broader education for the Faculty of Health Sciences was very much a part of the future vision of the University.

The broad based thinking was rolled out with, the School of Nursing programs developed in partnership with McMaster University. It contained social science courses in the curriculum with an aim to develop an appreciation of art, music and anthropology, among other subjects. The medical college followed the making of the nursing schools, and carried with it intensive discussions around the duration of the course as well as its non-clinical contents. The debate was whether the medical education should be preceded by one or two years of humanities and social sciences studies, or whether these subjects should be integrated within the five year curriculum of the medical college.   The final decision on this matter resembled the 7-year joint pre-medical and liberal arts degree offered at several American universities.

Today, the Medical College includes, in its undergraduate and graduate curriculums, ethics, behavioral sciences and social sciences. The Residency program of this institution has also integrated a bioethics program for all its residence. Bioethics is most soundly established as the institution has three active bioethics related groups, namely, Ethical Review Committee, Hospital Ethics Committee and Bioethics Group. Together they strive to inculcate and uphold an institution-wide culture of ethical and professional practice.

Humanities and Social Sciences in the undergraduate medical curriculum

The regulatory body of medical educaiton in Pakistan requires the inclusion of 50 hours of Islamic Studies and Pakistan Studies (IPS) in the five-year medical curriculum. No student could be awarded a degree without having passed this course. Initially the marks of this course were included in the students' final aggregate when they graduated. Over time this criterion was discontinued, however IPS has continued to remain a compulsory passing course. At AKU, this component is taught over the first year of medical college. It was placed under the overall title of Humaniteis and Social Sciences (HASS).

Initially, topics of humanities were randomly added to the already set format of the IPS course which ran throughout the entire academic year, with a four week elective at the end of the first year. In 2011, a concentrated 2-week HASS was implemented and in the following year, 2011-2012, a 5-week HASS module was implemented before the medical studies began, followed by 6-week modules in 2012-2013 and 2013-2014. These extended modules have given the students the opportunity to be explore diverse areas of learning.

Courses Offered

All students are required to take two subjsuts (Religions of Pakistan and Pakistan Studies: Partition to the Present: Heartbreak, Hardships and Hope) and choose three electives

from 16 courses offered: English Literature, Urdu Literature, Languages (Spanish, Chinese Arabic or Persian), History of Mathematics, Introduction to Social Science, Introduction to Philosophy, Introduction to Law, Introduction to Media Studies, Introduction to Documentary Film-making, Music, Theatre, Photography, Fine Arts, Hollywood on Morality, Creative Writing – Non-Fiction, Art, Politics and the Performing Body

Pedagogy and Assessment

No pedagogy is prescribed, but interactive/participatory approaches to teaching is encouraged, Thus, the faculty is at liberty to use any pedagogy and assessment style s/he considers most effective. Assessments include end of the course exam, in-course quizzes, short write-ups, extended essays, project work or class presentations. At the end of the HASS course, the faculty is invited to discuss pedagogical and assessment issues, and discuss the students' feedback that is shared.

Challenges

The overall feedback from the students and the faculty has been encouraging, but some challenges have been identified around three domains -- faculty , venues, and students' attitude. As almost all of the faculty come from outside AKU, their availability for the coming year cannot be ensured. Being already committed elsewhere, the time and days they can give to HASS is not always negotiable and thus preparing class schedules become difficult. With rapidly expanding educaitonal programs and related activities, it is not possible to fix physical spaces for the electives. Though the issues gets resolved every year, the challenge remains. Being constructed as a science college, AKU does not have rooms which are conducive for some humanities courses, for example, Arts and music. The average age of the studnernts is 17 years, and given the dominant understanding of medcial education has only clinical subjects, students have difficulties in understanding why HASS has to be studied as it is not "hard science". Although the subjects are manadatory and attendance is taken, students know that these studies do not impact their aggregate marks at the end of the professional exams. Their resistance to HASS is thus often reflected in their non-serious attitude.

Way Forward

Over the last three years, a marked positive change in the students' reaction to the HASS module has been noticed. Not only do they enjoy the courses, but have begun to understand the impact it could have on them as more humane and socially-equipped medical practitioners. It has been decided to continute with the current practice, and to look for extending the courses through out the remaining years of medical education. How this is to be done remains to be tested.

Bioethics in the undergraduate medical curriculum

Medical practice goes hand-in-hand with ethical dilemmas that arise amidst scarcity of resources and futility of care. Realizing that there persists a concern for addressing disregard of ethical behavior in the healthcare sector, the bioethics curriculum strives to introduce bioethics to the medical students through a diverse range of contents and pedagogies. A new curriculum was made and implemented in 2011 to a class of 100 students.

Content

In the first two years, the content is a mixture of moral philosophy and applied clinical ethics. Topics include: reasoning about moral dilemmas through reflexivity and logic; the four principles of bioethics; major ethical theories; history of bioethics; the role of the doctor;

consent and confidentiality; truth-telling; ethics of behavior; the ethics of organ trade; conflict of interest; priority setting and rights of patients and vulnerable groups.

Pedagogy

The overall goal of the Aga Khan University's bioethics curriculum is to produce students who can reason and articulate their positions when faced with ethical dilemmas in their lives as medical professionals. Case studies and problem solving exercises are used to optimise students' engagement with the topoics under discussion. Worksheets are also used in which students write down their responses to specific questions, and then share them with the larger class.

Challenges

A major challenge in implementing the bioethics curriculum has been finding faculty who are available to plan the teaching content and deliver lectures. Since the Aga Khan University does not have a Bioethics department, this task has been taken up by a voluntary group of interested doctors and educationists who are also member of the Bioeths Group and constitute a sub group called: Bioethics Teaching Group , which meets routinely to plan lectures and workshops for students. Another challenge is to organize tutorials for the bioethics sessions.

There have been concerns that ethics cannot be adequately assessed through a 5-minute OSCE station that is competing in content with other equally time-consuming themes such as communication skills and the behavioral sciences. Assessement continues to pose a challenge and the Bioethics Teaching Group continues to resolve this. Furthermore, while the continuous assessment form is a valuable assessment tool, monitoring ethics can take a backseat when several other clinical attributes are also being assessed. Finally, perhaps the biggest challenge is embedded in the need to create an overall culture of ethical responsibility and accountability within all medical professionals that students interact with on a daily basis.

Way forward

Thsoe teaching bioethics continue to be active in the Bioethics Group where collective thinking and planning guides the working of the group. Organizational ethics is a continuing theme of this group and provides a valuable base for strengthening bioethics teaching at AKU.

Behavioural Sciences in the undergraduate medical curriulum

The need to integrate Behavioural Sciences (BS) in medical training is well recognized. This is based on the fact that a simple disease-based model does not adequately explain the difficulties in the diagnosis and management of many medical disorders. There is strong evidence to link biological, behavioral, psychological and social variables to health and illness (Humayun & Herbert, 2011).

BS has been taught at AKU for several years now and is one of the subjects covered in the longitudinal themes that cut across disciplines and year of study.   Its objectives are: (a) introduce students to the limitations of narrow biological approach to health and disease; (b) help students understand the bio-psychosocial model of health and illness; (c) students to become aware of areas of psychology that are relevant to medicine.

Contents

Behavioural Sciences are taught over the five years, and include: (a) Introduction to Behavioral Sciences; (b) Life Span Development, which include: Early Childhood, Middle Childhood, Adolescence and Adulthood, Aging ; (c) other topics: Family Functioning and Dynamics, Psychological Reactions to Stress, Introduction to Behavioral Neurology, States of

Consciousness, Intelligence, Motivation and Emotion, Aggression and Violence, Learning and Memory, Behavioral Effects of Alcoholism, Human Sexuality.

In addition, particular emphasis is paid on the teaching of communication skills as a longitudinal theme, including intervention styles and dealing with difficult patients.

Pedagogy

BS is taught through interactive large-class format (LCF) sessions, tutorials, workshops, videos, role playing, patient interviewing and BS content linked to problem-based learning (PBL) cases. Bioethics, communication skills, professionalism and behavioral sciences are integrated in interactive workshops, in which students present real-life cases followed by a panel discussion.

Challenges and way forward

Although Behavioural Science is being taught in the undergraduate medical curriculum the content needs to be sequenced properly. Some additional topics need to be taught and existing topics need to be strengthened. Concepts have to increase in complexity over the years in keeping with the 'spiral' nature of the curriculum. BS needs to be further integrated of with other longitudinal themes and components such as humanities and social sciences (HASS) and bioethics and redundancies removes. Role modeling by faculty remains one of the biggest challenges - what students learn in behavioral sciences has to be practiced by their teachers on the ward floor and clinics.

Social Sciences in the Masters program

The field of social sciences encompasses a wide range of topics from which post-graduate medical education can pick and choose. Selection would not be easy, but possible if purpose of integration is clearly articulated. Epidemiology and biostatistics, for example, are well recognized areas of Master's program worldwide. However, what aspect of social sciences should be known to students of epidemiology and biostatistics (Epi-Bio) can be debated. A Masters level course for Epi-Bio students was developed around three concepts considered relevant at our institution: ethics, equity and rights.

Content

The two credit course on ethics, equity and rights in health, includes introduction to some ethical theories, western and Islamic sources of understanding ethics, linking ethics with health systems and how these are differently shaped by the development paradigms of the countries (thus drawing attention to the capitalist and socialist appraoches to health and developemnt). Notions of justice as fairness and how rights are understood through the various UN instruments are also an integral part of the course.

Pedagogy

Students are required to write summaries of the reading assignments and lead the discussion in classes. Presentaitons are made by faculty and gruop work is used. Films and videos are also used to generate discussions.

Challenges

A typical physician in a developing country like Pakistan is trained in diagnosis and treatment of diseases. Study of ideas like ethics, equity, and rights requires reading material which is very different from the readings required in medical education. This difficulty is compounded by poor reading habits, whereby newspapers are not read, nor is there a habit of reading literature, history, philosophy, sociology and anthropology. Furthermore, how social

sciences are relevant does not make sense to the physicians aspiring to learn epidemiology and biostatistics. The pedagogy needed for these two disciplines is different and would require a different approach. In one case (Epi-Bio) analytical skills needed are different from analytical skills required in social sciences. This difficulty in understanding the relevance of social sciences combined with extremely poor reading habits creates an attitude not conducive to learning. Instead of honestly struggling to learn, resistance to learning emerges and the very inclusion of social sciences is questioned.

Way forward

Dialgoue and negotiations with students over the pedagogy used and what educaitonal theories guide the pedagogy needs to continue. Furthermore, larger discussions at the department level are also needed so that difficulties faced are seen as issues for the department and not only of the director of the course.

Bioethics in Post-Graduate Medical Education

Post graduate medical education (PGME) at Aga Khan University started its first training programs in 1986. Currently it has residency programs in 32 disciplines along with 28 sub-specialty Fellowships. AKU attracts young doctors from all over the country, and some from neighboring countries, who compete for more than 570 positions in the 50 programs. The impact of AKU PGME has been felt nation-wide, as its systems and processes have helped and influenced postgraduate medical education all over Pakistan.

Content

The generic acedemic activities include lectures on various topics of bioethics, along with a half day consolidated workshop for postgraduate year II, which is repeated again at year IV level with a higher level of discourse. Sessions included are on confidentialitiy, integrity in research, physician-pharmaceutical relations, introduction to basic principles of clinical ethics.

Pedagogy

The vision of PGME at AKU is to provide excellence and innovation in specialized medical education and to ensure professional, ethical and moral development of trainees at all levels. Individual programs have a core curriculum that mostly encompasses the scientific knowledge based education. PGME runs a parallel generic curriculum which covers crosscutting themes such as communication skills, research methodologies and professionalism. These include mandatory workshops and lectures conducted by subject experts to various levels of trainees across all disciplines and specialties.

Workshop starts with a short video (http://www.siut.org/bioethics/CBECProduction.html) that highlights the issues of respect for person and unprofessional attitude of doctors towards patients. It covers the issues of consent taking, privacy and patient autonomy. A facilitator leads an interactive discussion highlighting the learning objectives of the video. This sets the stage for three case-based small-group discussions on each of the above sub-themes. Once the groups have gone through the in-depth discussions they gather in the larger class to have facilitator-led interactive discussion which ties these sub-themes together under the umbrella of 'respect for person'.

Bioethics Grandrounds: The bioethics groups conducts quaterly symposia on various themes of clincial and organizational ethics which is attended by traniees along with medical students and faculty. These sessions are mandatory for the trainees to attend, and all other clinical and academic activities are suspended during this time. Issues like disclosure and

truthtelling, end-of-life care, academic freedom, etc. are presented and deliberated upon by experts in these grand rounds.

Challenges

Bioethics curriculum for the Residents continues to be person dependent rather than becoming institutinalized. Dearth of faculty is also a challenge as this teaching is volunary.

Way forward

As a broader and more comprehensive madatory curriculum in bioethics for post graduate trainees is to be instituinalised. Innovative teaching techniques and blended learning approaches to facilitate learning of trainees in a time efficient manner needs to further explored. Efforts are underway to develop a mandatory short course in a bended learning format for the post gradaute trainees at the Aga Khan University.

Conclusion

Teaching of humanities and social sciences and bioethics has come to stay at AKU. Whether it is the undergraduate medical education, or post graduate programs, the issue is not whether these subjects are to be taught. The issue is how the contents and teaching continue to improve. Faculty development plans are discussed to strengthen the faculty for taking forward the concerned subjects. While Bioethics Group at AKU continue to advance ethical concerns both in teaching and research and within the organization, a Humanities and Social Sciences Group is also needed to help establish the relevance of humanities and social sciences to medicine and health, not only in research but also in health services and education. This is work in progress, and embodies a determination to continue striving for excellence.

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MEDIATION AS A CATEGORY OF HUMANISTIC-ORIENTED PEDAGOGY

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Abstract

This paper analyzes the category of mediation from the point of view of humanistic-oriented pedagogy. Mediation is discussed first in its presumably most popular context, that is, in the context of legal procedures, where Polish law is taken as an illustrative material. Against this background, the main functions and principles of legal concept of mediation are presented. Further investigations are devoted to the characterization of humanistic-oriented pedagogy, with emphasis on the main categories of this type of pedagogical inquiry. The very notion of category is also focused on. Finally, the research question concerning the understanding of mediation as a category of humanistic-oriented pedagogy is discussed. It is argued that certain important values underlying the legal concept of mediation are present in the research in pedagogy, but in the latter context, the category of mediation adopts a much broader meaning, for its elements are present in every stage of human development.

Keywords: Pedagogy, mediation, law, categorization, interdisciplinary research.

Introduction

The purpose of this article is to analyze the relationship between mediation theories and humanistic-oriented pedagogy in Poland, with the use of the categorical approach. The main line of inquiry rests on the thesis according to which mediation, traditionally understood as a legal procedure, is in fact one of the categories existing and developing in the area of modern pedagogy, both in theory and in educational practice. The analysis opens with a brief description of mediation as an alternative dispute resolution strategy, highlighting its basic functions and the scope of its use within the Polish legal system. This leads to reflection on the presence in Polish pedagogical thought of elements overlapping with those present in the theory of mediation. The analysis closes with an attempt to construe mediation as a category of contemporary humanistic-oriented pedagogy, with emphasis on its semantic richness and broad scope of application, as more than a procedural device.

Mediation in the sphere of the Polish Legal system

Mediation constitutes one of the primary methods for an amicable and conciliatory approach to conflicts[40] which evolved in the movement called Alternative Dispute Resolution (ADR). The genesis of a strategy of reaching resolution between disputing parties through an intermediary[41] can be found in the second half of the twentieth century in the American legal

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[40] Kalisz and Zienkiewicz 2014, p. 26.
[41] See: MEDIATION, E. Polański (ed.), 2008, p. 446.

system[42], which emphasized the need to support the judicial system with additional, non-institutional methods of resolving conflicts arising from parties' opposing legal interests. In time, as difficulties associated with the growing number of cases and lengthy litigation increased[43], Alternative Dispute Resolution was gradually incorporated into the institutional system, creating, at least as a goal[44], in a comprehensive model for supporting parties involved in judicial proceedings.

The functioning of Alternative Dispute Resolution within the Polish judicial system is a relatively novel phenomenon. Despite a growing interest in mediation as a method for achieving agreement between disputing parties, the issue engenders certain interpretive doubts. One problem is that the term "mediation" eludes clear definition[45]. Doctrinal interpretations emphasize different aspects of this concept, and in the sphere of normative acts an unambiguous definition of the objective scope of the concept does not exist. According to a position widely accepted in the literature on the subject, mediation can be seen as an example of a non-dominant entry of a third party into a dispute, a party who improves communication between the opponents and seeks to eliminate the primary cause for the dispute[46,47]. Importantly, resolving the dispute is not one of the competencies of the mediator. The mediator at most presents to the participants in the proceedings possible proposals for reaching an agreement[48]. Another problem concerns the possibility of treating mediationasa judicial or extra-judicial mode of resolving disputes[49]. The overarching normative act of the Polish legal system, the Polish Constitution, does not mention mediation as a way of supporting the work of the justice system[50]. At the same time, legislatively-enacted laws (statutes), starting in 2005[51] began gradually to introduce the concept of mediation as a means of resolving disputes between parties to litigation. The issue of implementing Alternative Dispute Resolution within the Polish justice system is to a large extent regulated by the legislation of the European Union, in particular by directive[52] and recommendations[53] promoting active use of mediation in matters relating to various branches of the law. Although the phenomenon of mediation as a procedure supporting legal proceedings remains in the Polish justice system a theoretical and practical novelty, the number of cases in which

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[42] Białecki 2012, p. 21.

[43] Ibidem, p. 22.

[44] The degree of implementation of the idea of Alternative Dispute Resolution within the scope of the judicial system presents itself differently in different countries. The causes for this state of affairs are due to political, institutional and economic factors.

[45] Difficulties in the precise definition of the concept of mediation are at least partly caused by the large variety of types and strategies of mediation, as well as divergence in the purposes and functions that mediation pursues. See Gmurzyńska, R. Morek, Mediation. Theory and Practice, Wolters Kluwer, Warsaw 2009, p 15. See Cebula 2011, p. 3, available online at: http://ms.gov.pl/pl/dzialalnosc/mediacje/publikacje-akty-prawne-statystyki/.

[46] Kalisz and Zienkiewicz, op., cit., p. 32.

[47] Białecki, op. cit., p. 34 et seq.

[48] Kalisz and Zienkiewicz, loc. cit. Decisive powers allow one to distinguish mediation from other recognized methods of alternative dispute resolution, particularly arbitration, conciliation and negotiation. See Ibidem, p. 32 et seq..

[49] See Zienkiewicz 2007, p. 208 et seq.

[50] See M. Bielecki, op. cit., p. 25. The underlining should emphasize the lack of a clear resolution of the identified issues. A literal reading of the Constitution leads to the separation of mediation from the court system. At the same time, the analysis of acts of law tends to recognize the eligibility of alternative dispute resolution to be supported in an institutional nature, combined with the judicial system. See Loc. cit.

[51] The Amendment to the Civil Procedure Code of 28 July 2005, Journal of Laws 2005, No. 172, position 1438.

[52] Chiefly in directive UE2008/52/EC on certain aspects of mediation in civil and commercial matters (Directive 2008/52/CEdu Parlement européen et du Conseil du 21 mai 2008 sur certains aspects de la médiation en matière civile et commerciale). See Bobrowicz, ms.gov.pl.

[53] Green Paper on alternative dispute resolution in civil matters and trade.

a mediator's intervention is used steadily increases[54]. In the Polish justice system, mediation is used in several key areas of law. The presence of Alternative Dispute Resolution in civil and criminal proceeding[55], and in economic disputes, family law, labor law and administrative law[56] should be emphasized.

The principal function of mediation – understood as a social and legal institution - is to support the conflicted parties at the personal, interpersonal and social levels[57], and directing them towards reaching a voluntarily adopted resolution of the existing conflict. It should be emphasized that an agreement reached through the mediation process must be accepted by all parties. In this respect mediation differs from the resolution of disputes through adjudication, where the decision governing the situation of the parties comes from above, as sovereign edict of the authorized body[58]. In seeing mediation as a strategy of Alternative Dispute Resolution, a teleological function comes to the fore. A mediator's work must serve numerous purposes[59], of which the most important is reaching a mutually beneficial agreement for the parties involved[60]. Interestingly, Ministry of Justice statistics on the number of cases where mediation supports the judicial system use as a reference point the number of agreements made or proceedings dismissed or discontinued after the mediated agreement was approved by the court - which further emphasizes the utilitarian dimension of mediation[61].

Focus on resolving conflict as an overarching objective of mediation based on the interests of the parties[62] undoubtedly increases the efficiency of proceedings involving the justice system.Compared to contractual negotiations, mediations related to judicial proceedings are more formalized and, presumably, focus more on the successful resolution of the conflict than on imparting to parties the ability to effectively communicate and react in conflict situations. In the Polish legal system, mediation should be recognized as a process consisting of successive stages, where the end goal is an agreement satisfactory for all interested parties [63]. Despite the differences between various theoretical approaches, a certain more or less formalized structure emerges in the mediation process, which organizes the process of coming to a compromise. The existence of a procedural dimension of mediation is additionally supported by national and European codes of ethics regulating the conduct of mediators in accordance with recognized ethical standards[64].

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[54] Statistics compiled by the Ministry of Justice confirmed an increase not only in the number of cases referred to mediation, but also in the percentage increase in settlements concluded. See. Statistics mediation in 2010. - Rates of the results of mediation, available at: http://ms.gov.pl/pl/dzialalnosc/mediacje/publikacje-akty-prawne-statystyki/. Interestingly, the trend expressed in the decrease in the number of proceedings terminated as a result of mediation is observed in matters relating to criminal law, both in the preparatory stage and in conduct itself.

[55] Included are cases involving juvenile perpetrators of criminal acts.

[56] On the functioning of mediation in relation to particular branches of law, Kalisz and Zienkiewicz, op. cit, p. 63 et seq.

[57] Zienkiewicz, op. cit., p. 115.

[58] For more about the adjudication mode see Jakubiak-Mirończyk, 2008, p. 64 et seq.

[59] In addition to personal objectives, interpersonal and social mediation is focused on achieving the effects of communication, psychological and negotiation-informational.

[60] Gmurzyńska and Morek, op. cit., p. 18.

[61] A numerically verifiable number of proceedings terminated due to parties' agreements is a much more accessible measure of evaluating the effectiveness of mediation than are factors of psychologcial or communicational nature. But undoubtedly, successful resolution of legal disputes is a key measure of the effectiveness of mediation.

[62] In addition to the indicated types of mediation as a strategy for alternative dispute resolution one can distinguish different models, focused on helping participants in the conflict, shaping the ability to assess the situation, redefinition of the conflict, or improving relations between the parties. For more about mediation see Ibid, p. 109 et seq.

[63] On the subject of the reference models of the phases of mediation proceedings see Zienkiewicz, op. cit, p. 123 et seq.

[64] The text of the Code of Ethics for mediators in the Polish and European Code of Conduct for Mediators are available at: http://ms.gov.pl/pl/dzialalnosc/mediacje/publikacje-akty-prawne-statystyki/.

In Poland mediation is being increasingly implemented as both a contract negotiating and judicial strategy for resolving disputes arising in connection with parties' conflicting interests. The law's role in framing the boundaries of thinking about mediation[65] and in addressing the question of institutional recognition of the results of a mediated proceeding undoubtedly promotes real inclusion of ADR into the practice of the Polish justice system. At the same time, despite a growing interest in using the ADR model, its practical implementation currently occurs almost exclusively in the realm of broadly understood law, with little impact on extra-legal spheres of individuals' functioning. Meanwhile, according to the main thesis of this article, because of its potential impact in the personal, interpersonal and social spheres, mediation should be analyzed from a broad perspective embracing other than purely legal aspects of human functioning.

The characteristics of humanistic-oriented pedagogy

Because of its object of study, which is a human being[66], contemporary Polish pedagogy is deeply differentiated internally, due to the complexity of that object of study and to its inter-disciplinary approach. Therefore, this discipline is classified in the humanities and also as a social science, because it studies and solves problems empirical-analytic, humanistic[67] and praxeological[68] in nature. Its broad research interests directly impact the methodology used, which is based on both a quantitative and a qualitative research model. Moreover, from pedagogy's strong engagement with anthropology flows research exceeding purely pedagogical perspectives, intersecting with philosophy, psychology, sociology, biological and medical sciences, economics and law, all of which construe the broad context of pedagogical activity[69]. The basic feature of current Polish pedagogy is its multi-paradigmatic character [70]. This characteristic clearly sets apart current pedagogy from its prior evolutionary stages in Poland. In the process of its development, three fundamental stages best reflect the transformation - from a model of scientific orthodoxy, through heterodoxy, to heterogeneity.

Regardless of the scientific pluralism engendered in Western Europe in the fifties by postmodernism, Polish pedagogy of that period was dominated by the modernist model, revised and precisely tailored to the needs of socialist doctrine. The ideological offensive which then engulfed the applied sciences in Poland, including pedagogy, tended to put the science of raising, upbringing and education at the service of the project of reliably forming an ideologically-prescribed civic identity[71]. It should be emphasized that during the early stages of the modernist model of pedagogy, alternative paradigms were, in principle, excluded from public educational activity in Poland. The slow twilight of the socialist narrative finally started the process of dismantling of the monolithic modernist-oriented pedagogy. Approaches critical of that dominant model of scientific inquiry, although not claiming to be universally valid, gradually gained recognition, until the scientific value of inter-paradigmatic discourse on the key issues of education and upbringing was widely understood[72]. With the collapse of the socialist system, heterodoxy was replaced by a heterogeneous orientation, to the fullest

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[65] Mostly because of EU directives and recommendations issued to the governmental bodies of members countries.

[66] And upbringing, education and formation throughout life. See Palka 2006, p. 22.

[67] Should emphasize the difference between the humanistic nature of education as a field of study, and humanistic orientation as component in and of itself under consideration. The first of the issues relates to broader academic pedagogy specifications in other disciplines. In the latter case mentioned narrower in meaning, but still a vast paradigm of thinking about man as a subject of reflection and pedagogical interactions.

[68] Ibidem, p. 26.

[69] Kwieciński and Śliwerski 2009, p. 32.

[70] Śliwerski 2011, Contemporary Pedagogic Thought. Meanings, Classifications, Research, Kraków 2011, p. 31.

[71] Ibidem, p. 117.

[72] Z. Kwieciński 1993, p. 13-14.

extent realizing the postmodern idea of pluralism in the sciences, including education. At the beginning of the nineties, Polish pedagogy abandoned its ideologically-embroiled objectives and methods, in order to recognize, and reflect upon, the eclecticism of its disciplinary identity and the principle of openness in scientific endeavor. As the importance of the alternative models of scientific inquiry grew, the plane of pedagogical discovery became a site of meta-theoretical struggles for dominance, geared towards imposing certain specific assumptions and positions as binding. It should be emphasized that this situation, with varying intensities, continues to this day, forming a constitutive element of the condition of contemporary Polish pedagogy.

A humanistic orientation affords just one of many possible modes of reading the aims, objectives and strategies of pedagogical action. At the same time, given that the philosophical tradition of humanism firmly undergirds reflection on the pedagogical concept of man, the humanistic lens plays a particularly important role. It should be emphasized that, in contrast to the numerous pedagogical trends of relatively well-articulated assumptions[73], the paradigm of humanistic-oriented pedagogy is heterogeneous not only in structural, but also in temporal terms. Ideas based on the interpretation of the concept of humanitas permeate all theoretical orientations of modern pedagogy, to a lesser or greater degree. For this reason, it seems reasonable to talk about pedagogy in humanistic terms rather than as a homogenous system[74]

"Category" is a heterogeneous term, thus causing interpretational ambiguity. According to the classic Polish understanding and usage, this construct is defined an explicans (literally: explanation) specific to a given period of intellectual thought[75], and serving two basic functions.   First, "category" shapes the theoretical plane by isolating the basic problems of the given field of knowledge[76]. In such a system, "category" holds a central importance. At the same time, while organizing research, "category" gains the status of a research subject in its own right. The second function, resulting from the poly-semantic nature of "category," is to declare it as a reference point in the theoretical investigations of researchers. Thus, "category" not only organizes the space of research, but itself becomes a research challenge. Furthermore, due to its semantically open structure, "category" inspires creative search for answers to the questions faced by scholars in a given intellectual formation. Using "category" as an orienting reference point depicting a certain variant in pedagogical   thinking   allows   for a much freer analysis than can happen from the rigid and static standpoints of the particular schools of thought.

Among the categories associated with a humanistic oriented pedagogy, special attention is due four, which are directly connected with the concept of mediation: subjectivity, relationality, dialogue, and accountability or responsibility. It should be emphasized that these categories, in part because of their open semantic nature, and in part due to their overlapping subject matter, complement each other, forming a set of mutually complementary propositions which defines the boundary framework for thinking about humanistic-oriented pedagogy.

Subjectivity can be considered the over-arching category, the foundation of ordered thinking about the duties and tasks of education, in both the theoretical and practical spheres.

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[73] The field of modern Polish pedagogy lacks not only uniformly but also consistently applied solutions epistemological concepts governing the handling, system, flow, direction, or paradigm. Despite the application of certain of these proposals in the field of philosophy of science and methodology of science, in meta-theoretical thought about the structure of science there is still a lack of proper order.

[74] The heterogeneity of the concept of modern pedagogy implies a multiplicity of proposals with a methodological approach to problems. For this reason, the categorical approach should be treated as one of many alternative ways to read the aims and objectives of the humanistic orientation, and not as the exclusively legitimate optics.

[75] Skarga p. 108.

[76] Loc. cit.

Abandoning determinism to recognize in subjectivity an external source of causal human action[77] shapes the specific target and direction of formational, educational and care-giving activity. This category is used in two ways in pedagogy[78]. First, it refers to the question about the status of individuals engaged in the practice of pedagogy as formation, particularly educational. Second, it designates a specific set of objectives oriented towards preparing individuals for autonomous, creative lives[79].   Regardless of the accepted philosophical, psychological, and sociological concepts[80], which emphasize different aspects of any issue under consideration, undoubtedly the recognition of the irreducible, irreproducible and unique value of each individual forms a foundation for relational pedagogical practice based on freedom and responsibility. As a result, in contemporary pedagogical thought, subjectivity operates as a sine qua non for the possibility of supporting individual potential[81].

The concepts of subjectivity and relationality are inextricably linked. The category of relationality is defined as the ability to engage in successful supra-individual interactions, and it allows seeing pedagogical action as potentially lasting and effective. In the realm of humanistic-oriented pedagogy, relationality takes on additional significance associated with the axiological dimension of interpersonal experience. These issues, in turn, are closely related to the category of dialogue. The relational model of human structure, based on the phenomenon of one human's constitutive interaction with another[82], poses for pedagogy a number of theoretical and practical questions about the relationship between individuality and relationality, the limits of freedom and obligation, and such practices of education which reflect the dialogical conception of humanity[83].   Binding together the aforementioned categories is responsibility which, in the simplest terms, can be referred to as the awareness of standards and of the effects of pedagogical practice and the validity of the axiological, ontological and moral obligations undertaken in the name of supra-individual purposes[84].

Mediation as a category of humanistic-oriented pedagogy

Undoubtedly, as a structured process supporting the resolution of conflicts, mediation is naturally useful in the sphere of law. At the same time, it is not confined to that field, and mediation's present use in the law does not exhaust its potential. Despite the relatively young history of alternative dispute resolution, at ADR's foundations are principles of a much longer, and not only legal, lineage. What is more, the ideas undergirding support for conflict resolution through consensual agreement are consistent with the concept of humanistic pedagogy. Hence the following hypothesis: humanistic pedagogy and mediation (with its underlying assumptions) are so related that current pedagogical theories contain elements typical for the problematic of Alternative Dispute Resolution, and specifically mediation.

An analysis of the purposes for which mediation is practiced supports this hypothesis about the pedagogical dimension of mediation. Apart from the utilitarian sphere, resulting from the direct practice of supporting the parties to a conflict and from the indirect goal of optimizing the judicial system, the teleological dimension of Alternative Dispute Resolution includes several additional aspects. Particularly interesting is the postulate that, in pursuing

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[77] Górniewicz 2001, p. 24.
[78] Horowski 2010, p. 234.
[79] Loc. cit.
[80] For more on the topic of the concept of subjectivity see Ibidem, page 25 et seq..
[81] In contemporary pedagogy, unanimity is noticable in the treatment of subjectivity as a condition for the effectiveness of pedagogical interaction, which is a phenomenon with a relatively short pedigree. In the history of educational thought, especially in the scenario presented by the supporters of a socialist formation and the associated radical behaviorism, you can encounter the concepts of reducing subjectivity to a set of properties to ensure effective process of acquiring knowledge, skills and competence..
[82] See Gara 2008, p. 180 et seq.
[83] Gara 2009, p. 135 et seq.
[84] Górniewicz, op. cit., p. 15.

a mutually acceptable solution, the parties function as drivers towards a value-creating solution, thus qualitatively improving their relationship[85]. Importantly, the resulting improved relationship between the parties in mediation is separate from   the primary aim of finalizing an agreement. As such, it may regulate the functioning of the parties after mediation is completed, on levels only indirectly linked to the substance of the agreement[86].

Among the goals of mediation, attention-worthy is the prophylactic goal, oriented on preventing future conflicts[87]. At the core of a so-understood preventive function is the belief that the parties - aware of the essence of the conflict, the course of the conflict and the conditions for successful conflict resolution - will be better positioned to identify the most effective course of action against the conflict and to implement it together, if circumstances require cooperation. Just as value is created in improving the relationship of the parties, so also the preventive function goes beyond the immediate subject in dispute, to equip individuals with universally useful competencies.

The third purpose served by mediation is to develop general competency in optimizing human interaction. According to the proponents of the transformative dimension of mediation, this dimension aims to strengthen the participants' attitude of responsibility, proactiveness in running their affairs, and competency in dialogue, epitomized in the ability to communicate effectively[88]. It is not difficult to see that such a function promotes the expansion of the structures of civil societies, which in the long term may reduce the number of conflicts and disputes ending up in court[89].

The personal, interpersonal and social dimensions of mediation, which emerge from the analysis of the objectives of mediation, are consistent with the fundamental postulates of humanistic-oriented pedagogy. Current concepts of education, upbringing and care highlight the value of correlated, multi-faceted interactions, aimed at the object of pedagogical practice an that object's interactions with his/her immediate and distant environment, as well as the importance of effective pedagogical support for the labor of forming socially desirable attitudes. Contemporary Polish pedagogy shares, as a rule, mediation's claim that conflict are neutral facts present in the social space and common in natural human interactions. For this reason, the objectives of mediation and educational practice can be considered to, for the most part, coincide. Teaching with a humanistic orientation aims at having a three-step impact: non-directively supporting the development of human personhood, supporting the acquisition of competencies and skills conducive to a valuable life, and the creation of supra-individual values which would optimize the functioning of large groups. What is more, noteworthy is the temporal range of ADR's effects and its pedagogical influences. In both cases, despite focusing on supporting individuals in the labor of successfully resolving their conflict, both pedagogy and mediation implement far-reaching goals, inherent in reducing the risk of difficult situations in the future.

However, in reflecting on alternative dispute resolution, particularly in the context of private legal relations, the educational component is not emphasized. Approaching mediation sensu largo, broadly, with attention to the intermediate purposes for which it is used, leads one to notice its strongly pedagogical character. Underlying both mediation and humanistic pedagogy is the belief in the possibility of personal transformation towards future successful resolution of problematic situations. In the case of mediation, belief in the efficacy of action is applied to adults rather than minors.[90] Pedagogy, in turn, demanding support at every stage

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[85] Gmurzyńska and Morek, op. cit., p. 18.

[86] There is no doubt that this intention is not always possible to achieve. The final result depends not only on the subject of the conflict, but also on the attitude of the parties and their efforts to improve bilateral relations.

[87] Loc. cit.

[88] Loc. cit.

[89] Loc. cit.

[90] Especially on litigational and contractual grounds.

and age of human development[91], markedly expands the supposition of the natural tendency of individuals to organize their living sphere, noting ADR's usefulness even in disputes between school-age children.

The perspectives of mediation and pedagogy also share an orientation on dialogue. Whether the approach is philosophical, psychological or praxeological, the drive to reaching agreement through open, assertive communication increases the effectiveness of the process, both in terms of the immediate goals, as well as those long-term ones, delayed in time, and manifested in a dialogizing attitude towards other people. As in the case of supporting the sense of efficacy, humanistic pedagogy underscores the importance of shaping, at all ages, communicational attitudes and skills consistent with the principle that dialogue - apart from regulating an individual's incidental condition, e.g. via conflict resolution - constructively shapes durable personality dispositions.

Alongside subjectivity, efficacy and dialogism as preconditions of alternative dispute resolution (which also determine the effectiveness of pedagogy in practice), mediation and humanistic pedagogy both engage in reflection on responsibility. It should be stressed that this concept applies not only to the incidental situation involving, respectively, the search for a mutually-acceptable resolution of a dispute or reflection over the sphere of action, morality, and human personhood[92]. Apart from serving as a competence supporting the process of effective decision-making, responsibility enhances focus on long-term goals, temporally distant from the subject's incidental condition. Undoubtedly, the ability to take responsibility for oneself as well as, in some measure, for one's partner in the mediated or pedagogical relationship, improves the chances of a constructive approach to difficult situations in the future.

Conclusion

This study suggests several conclusions of a general nature. Mediation, understood strictly as a process of alternative conflict resolution in civil and criminal litigation and business disputes, is a relatively new field. At the same time, the foundational concepts of forming constructive interactions between disputing parties, with the goal of coining mutually satisfying resolutions, turn out not only to have more longevity but also a broader interdisciplinary reach. The universal nature of such concepts as subjectivity, relationality, responsibility and dialogism makes these concepts useful not only in the area of compromise-oriented dispute resolution, but also - indeed above all - throughout the lifetime course of human development. For this reason a re-orientation is in order: a broader analysis of the subject, whereby mediation will be seen as an element rooted in the humanistic concept of man, rather than just a procedure supporting the justice system.

In the field of humanistic pedagogy mediation gains new meanings, which are absent in its legal and justice system applications.[93] More than a method of compromise-reaching by feuding parties, in applied pedagogy it becomes an effective method of solving conflicts stemming from human functioning in society. In pedagogy mediation finds multiple applications unconstrained by the nature of the dispute, the parties' ages or maturity levels, or the environmental contexts of the underlying conflicts. Developing competency to act constructively in challenging situations is always particularly desired, especially since conflict is unavoidable at every stage of human development.

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[91] Whether of child-rearing, formational, or care-taking function.

[92] Górniewicz, op. cit., p. 15.

[93] J. Górniewicz, op. cit., p. 15.

[54] Law-grounded analyses of mediation recognize the potential benefits of more broadly viewing mediation, as a mode of reaching objectives not just in narrowly-conceived conflict resolution, but in the interpersonal, social, and personal spheres as well. At the same time, due to institutional and procedural factors, that approach remains, as of today, largely aspirational.

Apart from the strict interpretation of mediation, as just constructive dispute resolution, in the field of humanistic pedagogy mediation can be conceptualized as an attitude. In this sense mediation becomes a generalized, internalized conduct strategy, implemented with the goal of living a satisfying life on the personal, inter-personal, and social levels. Pedagogy's primary goal is to form an attitude, by practicing self-awareness, positive self-assessment, a drive for self-determination, and the correct recognition of problems, cooperation, or the positions of others. This goal can be more easily reached if the concept of mediation is implemented in applied pedagogy.

The overlapping goals of mediation and pedagogy support the title thesis here: that mediation can be conceptualized as a form of humanistic-focused pedagogy. Mediation's complexity as a discipline and its semantically-open structure makes possible approaches based on various temporal, scope, and goal criteria. Depending on the adopted starting point, mediation can be treated as a handy strategy for conflict solving, or as a set of competencies improving human functioning in the social sphere, or as a universal attitude of openness and attentiveness in the act of living. Mediation thus adds to the key pedagogical concepts, while at the same time opening a field for their practical, immediate manifestation. So understood, mediation can be seen as a category melding subjectivity, relationality, responsibility and dialogism, focused on attaining personal, inter-personal, and societal goals, both immediate and long-term, and with evident conditioning impact on human personhood.

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THEORETICAL FRAMEWORK AND INITIATION OF SCIENTIFIC PROJECT "LIFE. MOTION OF ENERGY-ELEMENT-INFORMATIONAL UNITY OF THE MATTER"

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Abstract

To provide a scientific answer to the questions "How did life originate?" and "How does life affect the Earth and the Earth affect life?" a concept of the function of energy-element-informational state of physical and biological systems f (E, C, I) has been developed. The regularities have been established and simulation of Life as a natural phenomenon, which is organized by moving in space and time energy-element-informational trinity of the Universe, has been run.

Keywords: life, motion, energy, element, information, system model

Introduction

The U.S. National Research Council has formulated 10 key questions to which geologists and planetary scientists seek answers in the early 21st century. Among others, there are questions * How did life originate? * How does life affect the Earth and the Earth affect life?

Life is one of the forms of existence of the matter that occurs naturally under certain circumstances in the course of its development.

Modern science looks at material systems as matters, energy fields, noting that reflection is the universal property of the matter. The role of reflection (information processes) is of special importance for biosystems that actively perceive information from the external environment, transform it, use it for its development, accumulate, store and communicate it to the external environment.

Motion is an essential attribute of the matter. When moving a material system changes its state which is manifested in the change of properties of the system.

To be able to describe changes of the system state (with a complex change in its substance, energy and information) a scientific study of some concept, feature, function of unity of elements, energy and information is required.

Objective

To develop the concept of the function of energy-element-informational state of systems;

To develop an overall picture (model) of the organization of life of the Universe, from nanosystems to the mega-level systems;

To develop a plan for further multidisciplinary system research within the project "Life".

Results and Discussion

Function of Energy-Element-Informational State of Systems

The common (for physical and biological objects) components which together define

the structure and properties of systems are:

A qualitative and quantitative set of elements (C);

A qualitative and quantitative set of energies (E);

A qualitative and quantitative set of information (I);

Configuration of the energy-element-informational path (S);

The rate of change of the energy-element-informational state (v)

Physical and biological objects are considered (Bobukh, 2001; Bobukh, 2002; Bobukh, 2012a) as systems of qualitative and quantitative sets of energies $e_1, e_2, \ldots e_n = E$, elements $c_1, c_2, \ldots c_n = C$ and information $i_1, i_2, \ldots i_n = I$. Function f (E,C,I) is the characteristic of the energy-element-informational state of the system.

Figure 1 shows the schematic arrangement of hydrogen H, p-, s-, d-, f- elements depending on the values of the energy-element-informational function f (E,C,I) of each individual atom of the element as well as properties of systems formed from the atoms of H, p-, s-, d-, f- elements.
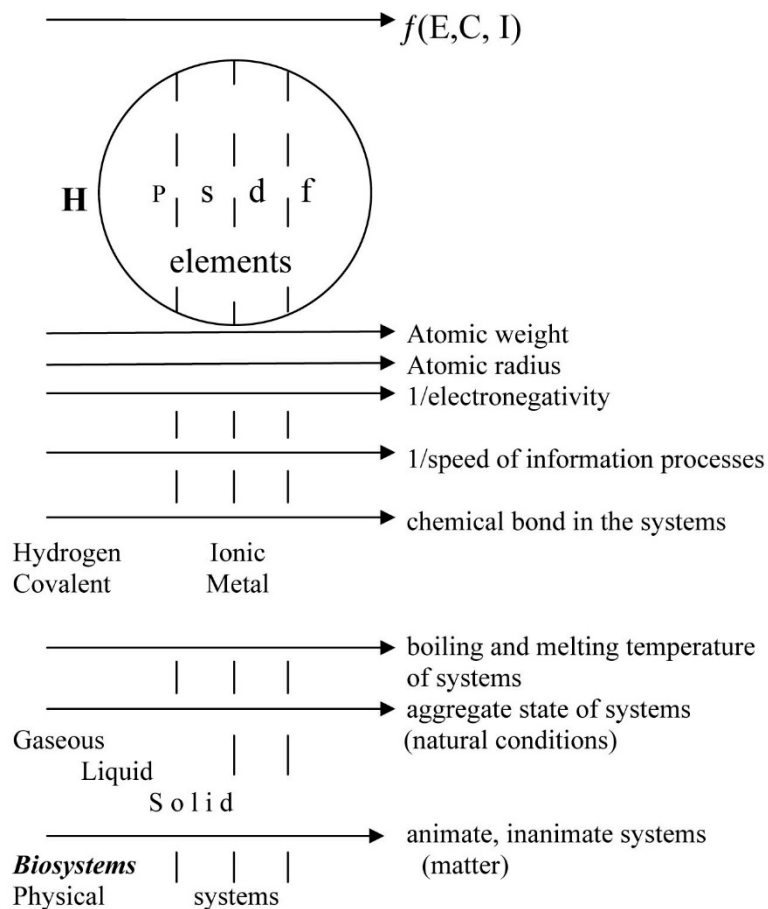
Fig. 1. Energy-element-informational function f (E,C,I) and properties of systems of H, p-, s-, d-, f- elements

Analysis of the established bonds makes it possible to designate elements that form systems with the lowest values f (E,C,I): element H as well as p- elements of the 2, 3 periods, IV-VI groups (H, C, O, N, P, S, Si – biogenic elements).

Biogenic elements have relatively low values of the atomic mass and atomic radius and high values of electronegativity and the rate of information processes. In the formation of molecules (CH_4, NH_3, H_2O) a covalent chemical bond is realized by the valence electrons, the atoms tend to sp^3-hybridization (H atom gives its single $1s^1$ electron; C, O, N, P, S - p

electrons). Due to the intramolecular bond of H with C, O, N, P, S formation of DNA helical structure is possible (Fig. 2).
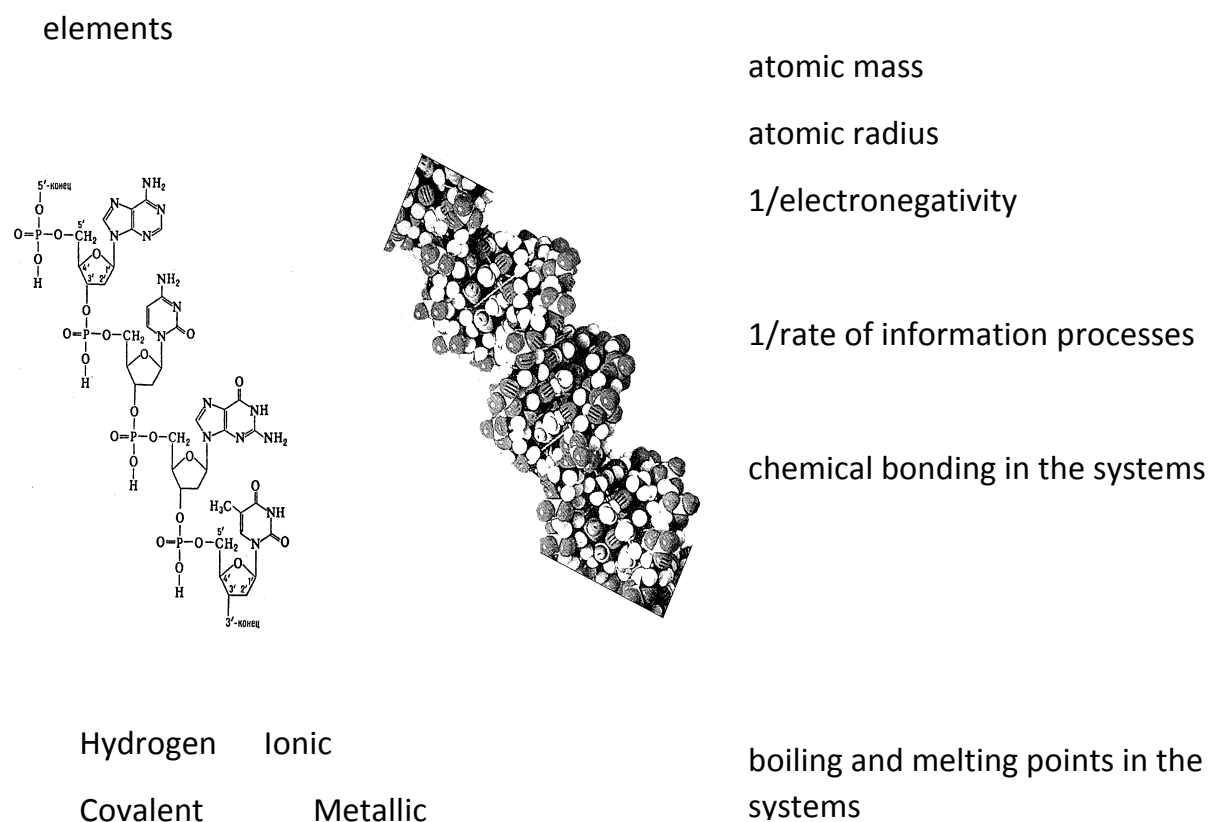
elements

atomic mass

atomic radius

1/electronegativity

1/rate of information processes

chemical bonding in the systems

Hydrogen   Ionic

Covalent   Metallic

boiling and melting points in the systems

Fig.2. Structural formula and volumetric model of DNA

Usually by the properties of a chemical element are meant, firstly, the properties of its free atoms and, secondly, the properties of its elementary substance. Most of these properties have a clear periodic dependence on atomic numbers of chemical elements (a relevant number of protons in the atomic nucleus). Among these properties the most studied, significant, being of particular importance in explaining or predicting chemical behavior of elements and compounds formed by them are the following: C (atomic mass, atomic and ionic radii); E (ionization energy of the atoms, electron affinity energy, electronegativity, atomization energy of elementary substances, oxidation level, oxidation potentials of elementary substances).

As for the establishment of periodic dependence of change of the information properties (I – perception, transformation, accumulation, storing and communication) of atoms and systems they formed, these researches are just only beginning.

A group of physicists from the Max Planck Institute in Germany managed to "record" information about the quantum state of a photon to a single outer-shell electron (the outer shell configuration is 5 s^1) of a rubidium atom. The scientists have generated a photon and directed it at a rubidium atom. After the photon interacted with the electron, the researchers studied the behavior of the latter and came to the conclusion that the quantum state of the photon that "had hit" it could be quite accurately judged by the nature of motion of such electron round the atomic orbit. That is, the information has been recorded to the electron and, most importantly, the scientists succeeded in reading it.

It is probable that similar processes of "recording" – "reading" at the atomic level take place in nature, in the natural environment. For example, interaction of a photon (light – in a

narrow sense) and $1s^1$ electron of a hydrogen atom causes a change in the informational state of the latter ("recording"). The hydrogen atom with a changed informational state, being an active participant of the construction of H_2O, DNA molecules, will change the informational state of the "reading" atoms C, O, N, P, S and the whole molecule of H_2O, DNA.

Thus, with maintained energy (E), element (C) characteristics, H_2O^I, ДНК^I molecules will have an altered information characteristic (I) and so an altered energy-element-informational state of the system as a whole.

Motion. Change of Function of Energy-Element-Informational State of Systems

The rate of the system transition from one energy-element-informational state to another is:

$$v = \frac{\Delta f(E,C,I)}{\tau} \quad (1).$$

This equation (1) is a mathematical expression of the essence of matter which is the motion of the energy-element-informational unity.

Using the characteristic of change of $\Delta f (E,C,I)$ and the equation (1) we can describe the rate of change of state of systems of various space levels, such as nano ($\Delta f (E,C,I)_{atom\ H}$, C – a hydrogen atom $1{,}67 \cdot 10^{-24}$ g; DNA), micro (cell), macro (organism), and mega ($\Delta f (E,C,I)_{Universe}$, C – the Earth $5976 \cdot 10^{21}$ kg, the Sun $2 \cdot 10^{30}$ kg , the Galaxy $\sim 10^{11}$ of the Sun's masses).

The way (S) of natural change of the energy-element-informational state of a system located anywhere on the surface of the Earth has a complicated cyclical pattern (Fig. 3) due to the mechanical motion of the Earth around the center of the Galaxy (1), the Sun (2) and its own axis (3). The state of the Earth – the Sun – the Galaxy physical system changes continuously and quite rapidly.

The Galaxy as a whole is moving relative to the background radiation at a speed of 620 km/s. The linear speed of movement of the Solar System around the center of the Galaxy is 220 km/s. The linear speed of movement of the Earth around the Sun is 29.765 km/s. The linear speed of the Earth's rotation at the equator is 0.465 km/s.
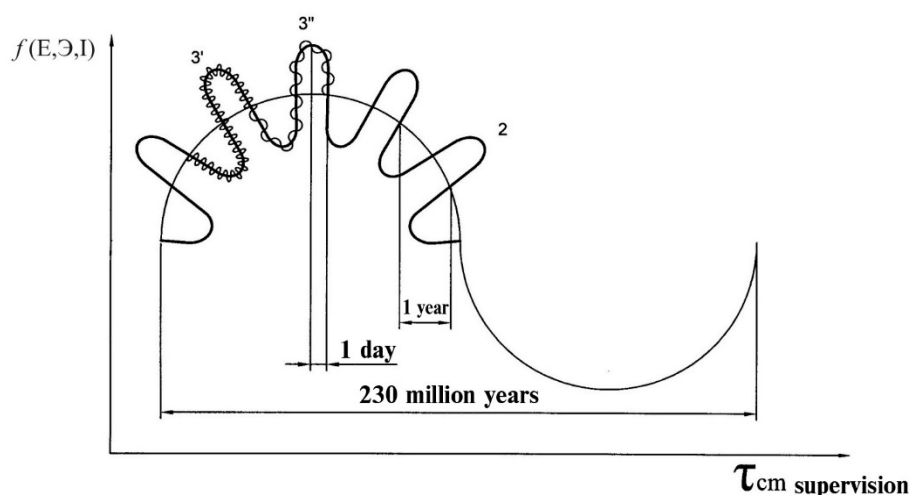

Fig.3. The equilibrium trajectory of change of the energy-element-informational state of any point on the Earth's surface the form of which is determined by the trajectory of the mechanical motion of the Earth around the center of the Galaxy (1) the Sun (2) and its own axis (3).

The change of state of the Earth – the Sun – the Galaxy physical system on the "spiral on a spiral, on a spiral" complex trajectory sets the same "mirror" trajectory (Fig. 4) of change

of the energy-element-informational state of the system of biogenic elements H, C, O, N, P, S, generates a DNA helix, a cell, an organism.
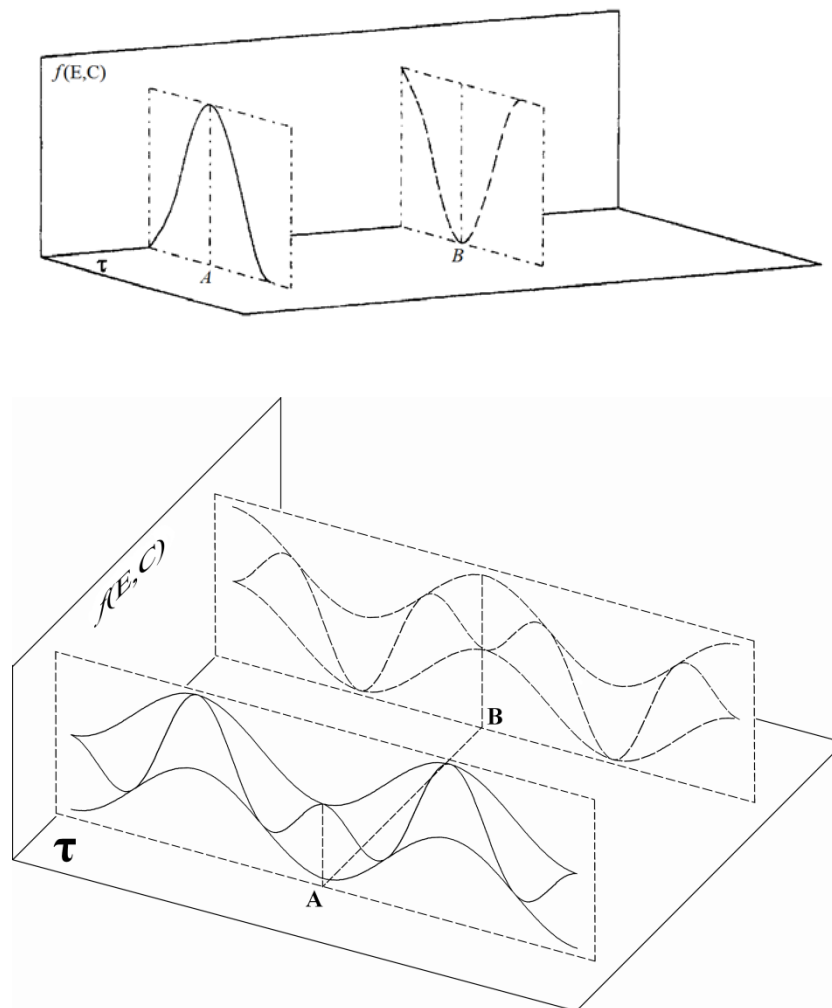

Fig.4. Diagram of dependence of change of the energy-element-informational function f(E,C,I) of biosystem (B) on the change of energy-element-informational function of the Universe (A). Diagram of Le Chatelier-Braun Principle

Due to the low values of the energy-element-informational inertia, the systems based on biogenic elements (perceived as biosystems) are able to change their states Δ f $(E,C,I)_{biosystem}$ with speeds coherent with the natural rate of change in the characteristics of the environment Δ f $(E,C,I)_{Universe}$.

The energy-element-informational motion of the Universe "creates" a man like all other biological systems (Fig. 5).
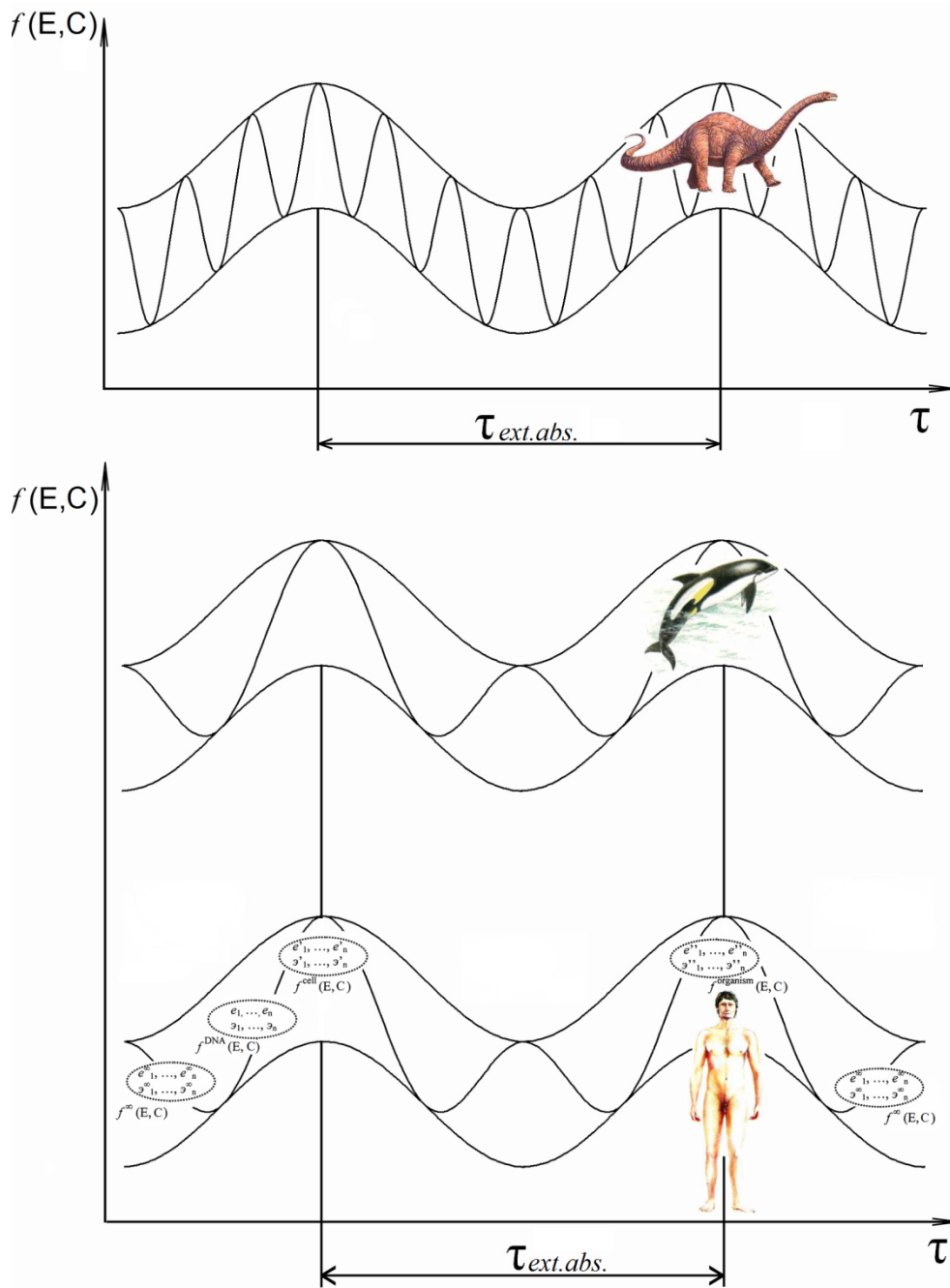
Fig.5. Organization and development of biological systems (DNA → cell → organism) taking place due to changing of the function of energy-element-informational state $\Delta f(E,C,I)$ of the environment; $\tau_{outside\ observer}$ is the length of time reviewed by an outside observer

A billion years ago a day lasted just 15 hours. But only blue-green algae or cyanobacteria, inhabiting the Earth at that time, could "see" it. Approximately 530 million years ago the Earth rotated so fast that a day lasted 21 hours. Its current rotation period is 24 hours. The rate of rotation of our planet around its own axis is slowing down.

We might say that the "Dinosaur" biosystem is organized by the Earth – the Sun – the Galaxy physical system at relatively high rotation rates of the Earth around its own axis. Organization of the "Man" biosystem is possible only at lower rotation rates of the Earth.
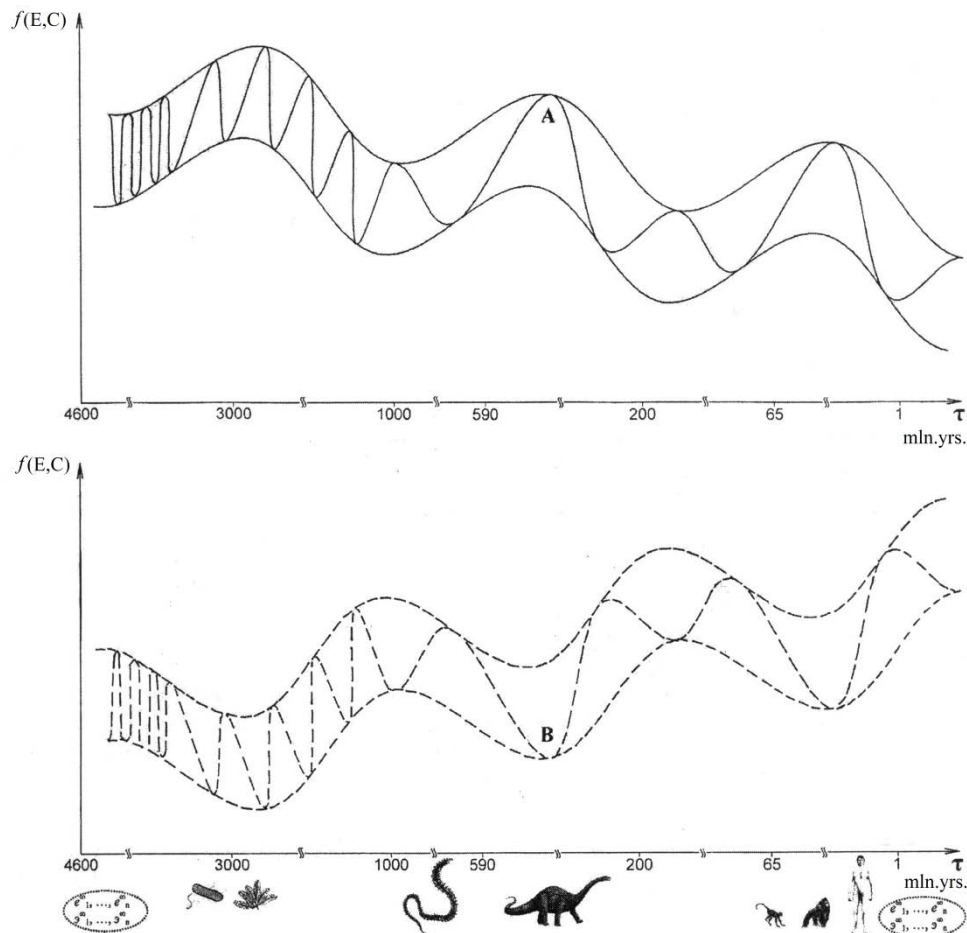
Fig. 6. Changing of the function of energy-element-informational state Δf(E,C,I) of the Earth (A) and biosystems (B)

A "dramatic failure" (for example, sudden change of the speed of the Earth's rotation at its collision with a large space body) in the natural mechanical motion of the Earth – the Sun – the Galaxy physical system on any part of the "spiral on a spiral, on a spiral" trajectory can cause a disruption of coherence of oscillations of the energy-element-informational functions of biosystem and the Universe and result in the death of all or some of the biological systems existing at the moment of collision and organization of new biosystems meeting new requirements of coherence (Fig. 6).

Model of Life (Energy-Element-Informational)

In the practice of materials science to describe the state of an isolated physical system the scientists use the diagrams (Fig. 7) of element, energy – properties that are discrete in time. In this case it is possible to consider the state-property relationship both in each given point in time and throughout the a-в-d path.
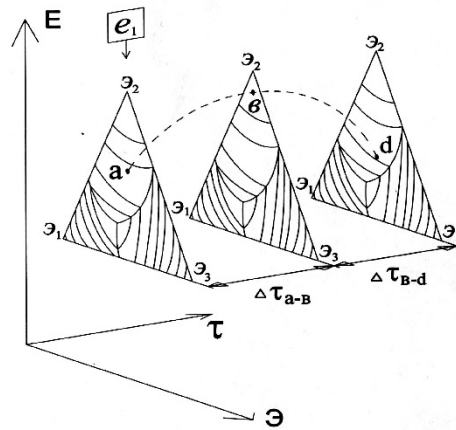
Fig.7. Diagrams of change of the energy-element state of a physical system, coordinates
E-C-τ

When plotting diagrams of biosystems, the information content should be taken into consideration (Bobukh, 2009). A diagram shown in Fig. 8 plotted in E-C-I coordinates for biogenic elements H,C,O,N,P can serve as a tool for study of the energy-element-informational properties of prior-to-DNA, DNA structures, principles of cell, organism formation.
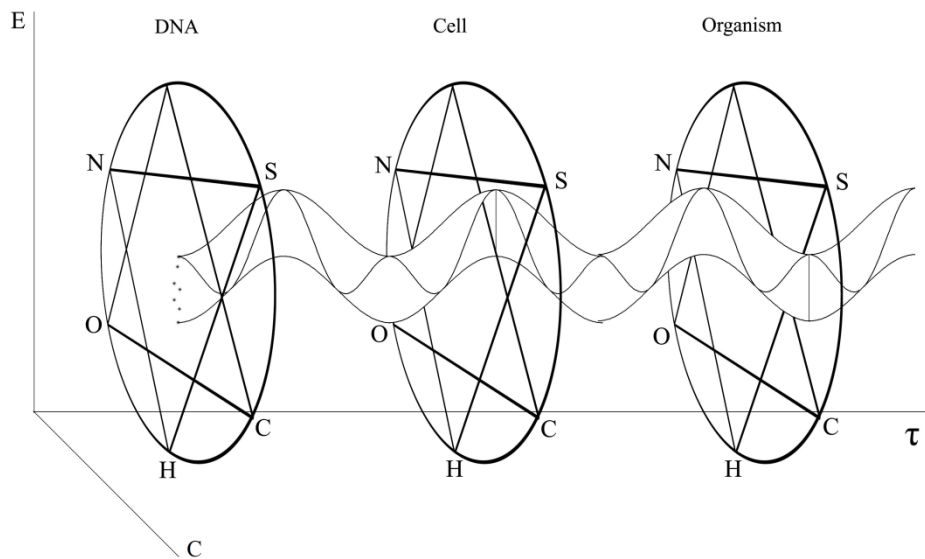

Fig.8. Diagrams of change of the energy-element-informational state of a biological system, coordinates E-C-I(τ)

Processes of organization and functioning of the energy-element-informational unity as a living system (biosystem) are the continuous time processes.

Such processes of continuous transition of an open biological system from one energy-element-informational state into another may be described (Bobukh, 2012b) with the help of a kinetic diagram (Fig. 9).
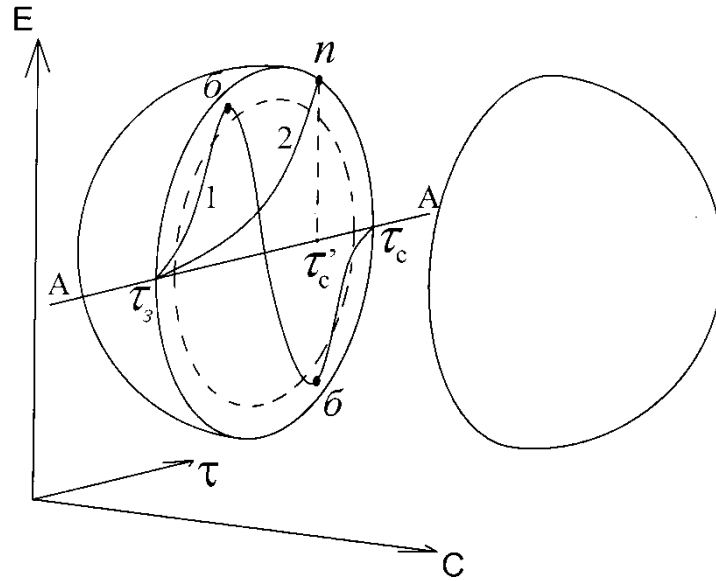
Fig. 9. Model of life of a biological system in the energy-element-informational space; A-A is a line of the energy-element-informational equilibrium; τ is a lifetime of the biosystem from birth (з) to death (c)

The model of life (Fig. 9) is part of the energy-element-informational space within which the natural processes of fluctuation of f(E,C, I) relative to the A-A equilibrium line take place. The graph above shows the passage of the f (E, C, I) value through a maximum over $t_3 \div t_c$ period of time from birth (coming into existence) to death.

Technical definition: Life is motion $v = \dfrac{\Delta f(E,C,I)}{\tau}$, a change of the energy-element-informational function f (E,C,I)$_{of\ biosystem}$ in the form of oscillations relative to an equilibrium state; a value of the amplitude of oscillations changes and, throughout the lifetime of the biosystem, passes through a maximum; the biosystem equilibrium state changes in accordance with changes in the equilibrium trajectory of the Earth as it moves in the energy-element-informational space of the Universe following the "spiral on a spiral, on a spiral" path …».

The surface on which the point of diversion of f(E,C,I) from the equilibrium state limits (rotation figures of Fig.10: ellipsoid, sphere, egg) the energy-element-informational (en-el-info) space in which the Universe organizes life.

Values of time $\tau_3 \div \tau_c$ and volume $V_{f\ (E,C,I)}$ of existence of a biosystem can serve as a technical quantitative and qualitative characteristic of its life.
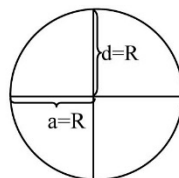
$f(E,C,I)$

$$\tau_3 \div \tau_c = a+b = c$$
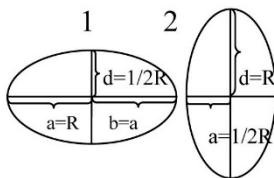
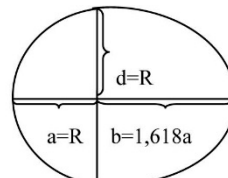$Vel1 = 4/3\ \pi ad^2 \approx \mathbf{R^3}$

$(a=b=R;\ d=1/2R)$

$\tau_3 \div \tau_c = \mathbf{2R}$

$V_c = 4/3\ \pi\ R^3 \approx \mathbf{4{,}2R^3}$

$(a=b=d=R)$

$\tau_3 \div \tau_c = \mathbf{2R}$

$V_o = 1/2\ V_к + 1/2\ V_{ел} \approx \mathbf{5{,}5R^3}$

$(a=d=R;\ b= 1{,}618a)$

$\tau_3 \div \tau_c = \mathbf{2{,}618R}$

420

Fig. 10. Models of life (ellipse, sphere, egg) and values of quantitative and qualitative characteristic of life (time $\tau_3 \div \tau_c$, volume $V_{f\ (E,C,I)}$)

Figures in the form of ellipses 1 and 2 have equal volumes $V_{ел1} = V_{ел2} = R^3$, wherein $(\tau_3 \div \tau_c)_1 = 2R$; $(\tau_3 \div \tau_c)_2 = R$. The values of volume and time are as follows: within the sphere $V_ш = 4,2\ R^3$; $\tau_3 \div \tau_c = 2\ R$; within the egg $V_я = 5,5\ R^3$; $\tau_3 \div \tau_c = 2,618R$.

Comparative analysis of time and volume of change of f(E,C,I) in the en-el-info space shows that it is the egg that has an optimal ratio and the largest values of the quantitative and qualitative characteristic of life ($\tau_3 \div \tau_c$, $V_{f\ (E,C,I)}$).
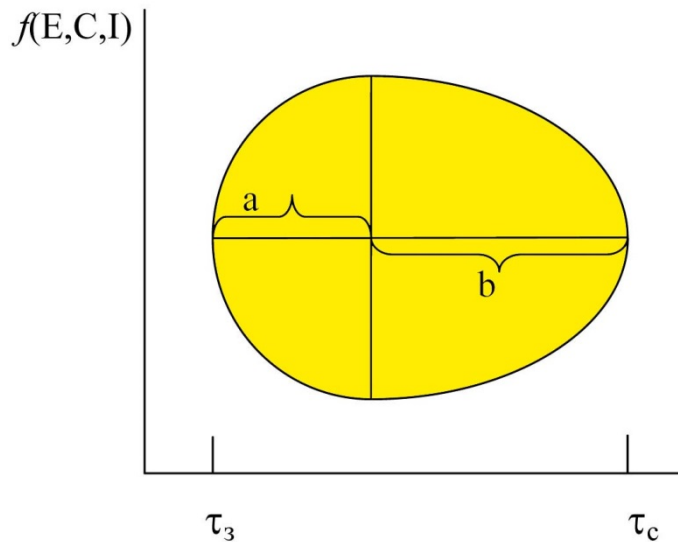

Fig.11. The "Golden Egg" of Life

The golden ratio has been recognized a universal law of living systems. Therefore the laws of the golden proportion were used to make mathematical calculations needed to produce a figure of an egg and its geometrical representation. The golden ratio is a proportional division of a line into unequal parts wherein the smaller segment refers to the bigger one as the bigger one to all a : b = b : c. The segments of the golden proportion are expressed as an infinite irrational fraction 0,618… if "c" is taken as 1, a = 0,382; (c : b = b : a = 0,382; b = 1,618a). Numbers 0,618 and 0,382 are the coefficients of the Fibonacci sequence.

Fig. 12 shows en-el-info models of life of biosystems 1 and 2. Both systems were born (came into existence) at the same time $\tau_{31} = \tau_{32}$. The lifetime of system 2 is longer than the lifetime of system 1; $\tau_{32} \div \tau_{c2} > \tau_{31} \div \tau_{c1}$. The volume of "development" of the en-el-info space by system 2 is bigger than that of by system 1; $V_{f\ (E,Э,I)2} > V_{f\ (E,C,I)1}$.
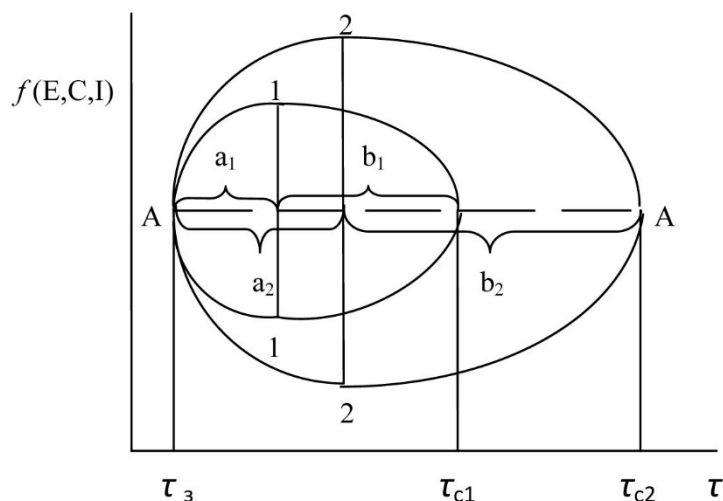
Fig. 12. Energy-element-informational model (egg) of life of biosystems 1 and 2;
τ_3 – time of birth (coming into existence), τ_c – time of death

Comparative graphical analysis of models 1 and 2 shows that the more vigorously the value of f (E,C,I) increases in the initial period of organization and functioning of the biosystem (from the moment of its birth τ_3 to achieving maximum values of f $(E,C,I)_{1-1}$, f $(E,C,I)_{2-2}$) the larger the value of segment a $(a_2 > a_1)$ will be and, as a natural result of the golden ratio principle, the value of length c $(c_2 > c_1)$ and volume of life increases.

Man, as a biosystem endowed with brain, being aware of the regularities of natural en-el-info processes, has the ability to artificially influence the amount and quality of his life by purposefully changing the value of f (E,C,I).

The following calculations
1)   a = 22,9   b = 37,1   c = 60;
2)   a = 38,2   b = 61,8   c = 100,

made using an egg as a model of life show that if the maximum of increase in the value of f (E,C,I) is reached at the age of 22.9, then the total length of life is 60 years; if the maximum of increase in the value of f (E,C,I) is reached at the age of 38.2, then the total length of life will probably reach 100 years.

The total length of time of living of a person who purposefully, actively increases the value of his/her energy-element-informational unity f (E,C,I)of the biosystem, for example, with other conditions being equal, due to growth of the information content (studies, education) will be large.

Director of the Institute of Human Brain of RAS S. Medvedev said: Active creative work of the brain increases our lifespan. For example, the process of creation awakens the brain regions important for the person's emotional activity, including those in hypothalamic structures affecting the endocrine system which is directly connected with the aging processes. Solving of supertasks can cause formation of new connections and generation of new neurons, nerve cells, in the brain of even an elderly person. Length of life of people who throughout their lives have to constantly use their heads is significantly higher compared with those whose brains do not experience any severe stresses. [You Need to Work with Your Head. Komsomolskaya Pravda in Ukraine, January 14-20, 2009.].

Director of the Russian Gerontological Research Center V. Shabalin said: In the Stone Age the average duration of life was 18-20 years. In the Middle Ages it was about 30-40 years. It was only in the late XIX century when the people continued to live to 35 years of age in average, by the end of the XX century the average length of life increased to 70-75 years. That is only in the last century - incredibly fast! - we have begun to live twice as long. We are

that information base that allows our descendants to move up to a higher level. [The Smart Will Live Up to 150 Years Old and the Lazy Will Become Extinct. Komsomolskaya Pravda in Ukraine. October 9-15, 2009.].

Multidisciplinary System Research

The established and described above laws made it possible to present a qualitative picture of organization of life of the Universe (Fig. 13).
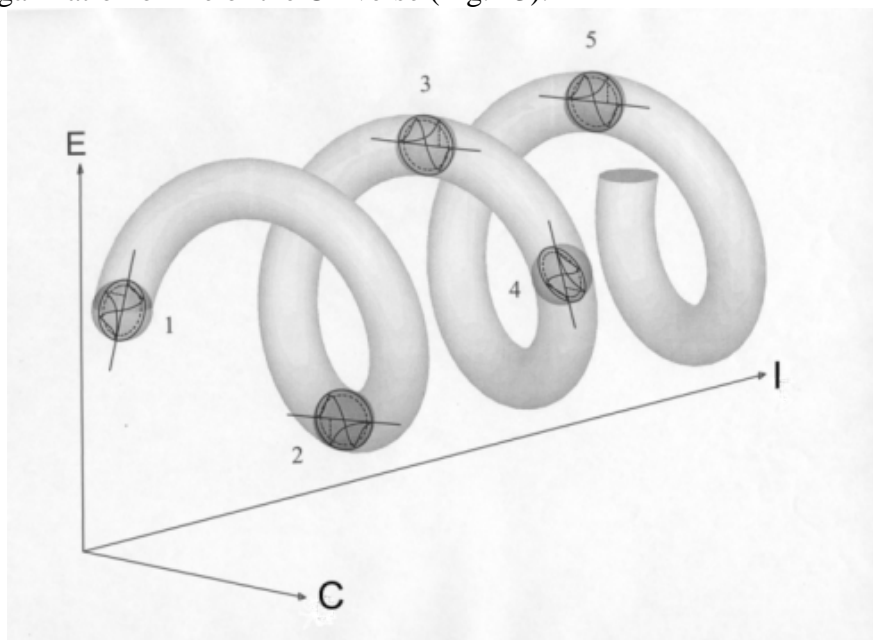

Fig.13. Cyclic change of the function of state f (E,C,I)$_{of the Universe}$ and biosystems 1-5, aligning their equilibrium according to the change of energy-element-informational characteristics of the Universe

Figure 13 shows the cyclic change of energy-element-informational characteristics of the environment occurring during the time that is commensurable with the duration of the existence of successive generations of biosystems. In this case we should talk about alignment of the equilibrium state in each of the generations with a gradual transition from the energy-element-informational properties inherent in system 1 to the energy-element-informational properties inherent in systems 2, 3, 4 and 5 by means of alternation of generations in harmony with changing characteristics of the environment.

A variety of shapes and properties of the wildlife systems is attributable to the variety of possible options for energy-element (H, C, O, N, P, S, Si)-informational conjugations formed and functioning under various constantly changing energy-element-informational conditions of the environment.

We may say that a qualitative picture of life has been drawn. To perform systemic work on quantitative specification of the picture of life it is necessary to unite the efforts of physicists, chemists, materials scientists, biologists, computer scientists, planetary scientists and astronomers within the multidisciplinary project "Life. Motion of Energy-Element-Informational Unity of the Matter".

Foremost objectives of the Project:

- study of patterns of change of the energy-element-informational unity in the periodic table;

- plotting of discrete diagrams of energy-element-informational state-property of helical structures on the basis of elements H, C, O, N, P, S, Si (prior-to-DNA structures; physical systems)

- establishment of laws of the process of change of the energy-element-informational state and hence the properties of systems on the basis of biogenic elements H, C, O, N, P, S, Si (helical DNA structure, cell, organism, biosystems);

- modeling, mathematical specification of the equation of Life, a natural energy-element-informational cyclic process of formation, development and evolution of spiral structures of H, p-elements in the past, present and future lifetime of the Universe.

Conclusion

The important role of information as an integral part (along with the matter and energy) of the characteristics of systems, qualitative and quantitative indicators of which should be considered to fully cognize and describe the properties of material systems, biological systems in particular, has been shown.

A concept of the energy-element-informational function of state f (E,C,I) of the matter (nano÷mega level) has been developed (the same for both physical and biological systems).

The regularities of Life have been established and a possibility of modeling of Life as a natural phenomenon organized by moving in space and time energy-element-informational triunity of the Universe has been opened.

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PROBLEM OF CULTURE: ELT IN A PAKISTANI CONTEXT[94]

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Abstract

This paper reports on a comprehensive study conducted in investigation of perceptions and practices of integrating an important aspect of language teaching—culture—in Pakistani EFL classrooms. It involved both qualitative and quantitative investigation into the issue in order to understand the phenomenon in totality. The results revealed a highly positive attitude of teachers in favor of incorporating culture teaching along with language teaching, but at the same time the dominant opinion was to adapt language teaching materials in order to suit local audiences.

Keywords: Culture, Language Teaching, Pakistani Teachers, Perception and Practices

Introduction

Language teaching experts and anthropologists dealing with acquisition of human languages unanimously opine that learning a new language is not merely mastering a few phrases and patterns of communication; it also involves developing the ability of correct use of language in specific social and cultural settings. It is the 'use' that lays the very concept of the word, language. In order to develop this ability awareness of target language culture is a must. On the relation between language and culture, Kramsch states that they are 'inseparable and constitute a single universe or domain of experience' (1993: 217). Therefore, foreign language teaching is seen as acquiring the abilities as intercultural consciousness and intercultural discovery (Byram and Morgan, 1994: 5).

Having stated the value of cultural element of language learning, it implies an increased importance to the teachers in the whole learning-teaching process. There is no denying that despite having the perfect infrastructures and theoretically well designed mechanisms, it is the teachers who materialize these aspects, in class. Teachers' teaching practices are intentionally or un-intentionally are determined by the set of belief system they carry with them in relation to certain practices. In case of language teaching or specifically English Language Teaching (ELT) they are moderators between two cultures, that is home culture and target language culture. So, the perceptions and beliefs of them are significantly salient for the learning output of students. A sound knowledge of culture as a concept and positive outlook towards target language culture can instill increased interest and motivation to acquire language, while a disdain to it might prove a deterrent to better language learning outcome.

The rationale which lead to this project is, one, the fact that with growing globalization, people and cultures are coming closer to each other, studying the cultural perceptions of an important segment of society, teachers, can yield great benefit in understanding our social behaviors besides doing a service to ELT. Second, the study of culture is interdisciplinary in nature; it is not confined to ELT. Pakistan being an ideological, Islamic, state associates a great value to its cultural elements (products, processes, values) and albeit, lately, there is a favorable trend in Pakistanis to learn English language, yet they are not

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[94] This paper is execrated from Author's published book --Integrating Language and Culture (2012)

very welcoming towards foreign/English cultural understanding, let alone assimilation. Therefore, this study on the whole aims at finding answers to the following research questions:

How do teachers define culture? And what values do they associate with the teaching of culture in classroom?

What are teachers' opinions about some core concepts of intercultural competence (cultural differences, shred cultural values, interaction between cultures, tolerance, teaching in multicultural classrooms)?

What aspects of culture associated with English language do they consider it important to teach?

What resources do teachers use to teach culture in language classes?

How do teachers feel about the effectiveness of their initial teacher training in helping them understand the cultural dimension of language teaching?

Interculture Competence

Culture is a multidimenssional term that is defined in a variety of ways focusing on one or more shared elements of a group and the range of these shared elements is vast. I define culture by taking into consideration theis binary of nature vs. Nurture. Anything that is not nature but nuture is culture. Any aspect of our life where there is human involvement, it would be culturally determined and defined. Learning and understanding of culture has been described on three levels in cultural studies literature i.e. cultural knowledge, cultural awareness, and intercultural competence. Cultural knowledge is generalised information expressed through words, whereas cultural awareness is built through direct interaction with target culture or through authentic materials (Pulverness 1999; Byram 1989). Competence in culture, which is also known as socio-cultural competence or intercultural competence is an umbrella term that covers both cultural knowledge and awareness.

Intercultural competence is considered to be an end goal of culture teaching by many cultural theorists. In literature there are various models/ set of theories that describe intercultural competence in their own way. According to Seelye (1993: 31) intercultural competence consists of six goals: interest in target culture (C2); realizing the importance of 'culturally conditioned' images (cultural products); recognition of social variables; recognition of situational variables; awareness of cultural patterns (cultural values); and the ability to organise and evaluate target culture information.

To explain intercultural competence Byram's (1997: 34) model presents 5 different types of knowledge which are concisely presented in Byram et al. (2002: 2). They consider knowledge, skills and attitudes as three important components of intercultural competence and regard attitude as the foundation of intercultural competence. By attitude (savoir etre), they mean ability and willingness to decentralise cultural values, beliefs, and behaviours; second, knowledge (savoirs) as awareness of own and interlocutors' social processes and products; and third, component skills of interpreting (savoir compendre) enables speakers to remove misunderstandings and bring two cultures together. In addition to these, savoir apprendre/faire and savoir engager deal with discovering new culture and the critical awareness of various cultural elements (7-9). Byrams' model is considered to be a comprehensive and easily applicable explanation of intercultural competence. But Moran (2001: 24-25) argues that there is an important dimension missing from it, that is, 'people'. Therefore, he adds two more dimensions in his model that are: communities and people. Communities include social contexts in which practices occur and people are those individuals who exemplify that culture in unique ways.

ELT and Culture Teaching Practices

The use of cultural products as language teaching materials makes learners more confident and fluent in target language and culture. This is because the physical presence of cultural products creates an authentic target culture environment, which encourages learners to communicate (Tomlin & Stempleski 1993: 39-40). Moreover, their easy accessibility is an added advantage in teaching a perspective of intercultural competence. Therefore, learners can experience target culture without visiting the target country.

Fantini & Fantini (1997: 57-61) present cultural products in a sociological framework to teach intercultural competence. They argue that the integration of cultural products (artifacts) with sociofacts (cultural practices) and mentifacts (beliefs and values) encourage a language-culture exploration that goes beyond the superficial consideration of cultural items and makes them discuss their significance and social use. Brooks (1986: 123-129) lists some cultural products that are typically used in language teaching: childhood literature, games (with cultural content), films, music, personal possessions, cosmetics, gadgets, sports, books, meals, soft drinks, parks and playgrounds, and others.

An intercultural speaker is a mediator between 'cultural knowledge frameworks' and 'cultural practices' (Byram 1997: 64). In this regard, McConachy (2008: 43) presents the importance of conversational routines as a cultural practice. He argues that teaching the basis of values associated with conversational routines can serve the purpose of making learners interculturally competent. According to Roberts et al. (2001: 30) 'culture is not given, but constituted in everyday practices of groups and individuals. So, an intercultural speaker is always alert to what is both patterned and predictable in these practices.'

Observation and an unbiased interpretation of practices are important parts in learning of cultural practices. So, the role of learner becomes crucial in developing an awareness of target culture practices (Byram et al. 2002: 4). Corbett considers ethnographic techniques as an important tool for detailed observation and analysis of target culture practices. He is of the view that conversational routines may provide information about aspects of everyday behavior, but ethnographic techniques inform us about minor details as what kind of body language accompanies basic greetings; 'when handshakes or kisses are acceptable or unacceptable' etc. (Corbett 2003: 105). So, making the learners aware of these subtle differences helps them have a better understanding of the target culture.

Cultural Syllabuses: topics for teaching culture

After reviewing the available literature on the cultural theory of language teaching, it becomes clear that there is no fixed criterion for designing a cultural syllabus. Coursebook writers design the material based on the topics that have cultural significance associated with them. These include topics like popular figures, customs, national holidays, cuisine, habits, sports etc. Brooks (1986: 124-128) lists 62 potential topics of cultural interest. But he himself claims that the compiled list is not exhaustive, nor is it the best way of presenting a cultural syllabus because the selection of topics depends on various factors, and the learners' age is important one of them. Chastain (1988: 303-304) also compiled a list with a focus on anthropological perspective. His list consists of 37 topics, including good manners and non-verbal communication. Chastain (1988) emphasized on a comparative approach while teaching these topics. Following the list pattern of designing cultural syllabus, Durant (1997: 31) presents a list with the topics such as: the legal and judicial system, housing and gardens, social attitudes and political expression. The distinguishing feature of his list is that it is linked with the freedom of a selection of topics considering students' interests and suggestions.

The Common European Framework for languages (2001: 102-103) presents seven macro categories that encompass most of the characteristics of a European society and its culture: everyday life, living conditions, interpersonal relations, values, beliefs and attitudes,

body language, social conventions, and ritual behaviours. Following Common European Framework (2001) categories, Hasselgreen (2003: 47-52) designed a list with a learner centered approach. His categories are: ability to cope with daily life activities, traditions and living conditions, confidence with the beliefs, values and attitudes of foreign language users, the ability to use verbal communication means, and lastly the ability to use non-verbal language. Similarly, according to Byram and Morgan (1994: 51-55), the minimum content of cultural training should cover at least the following broad analytical categories: social identity and social groups, social interaction, belief and behavior, sociopolitical institutions, socialization and life cycle, national history, national geography, cultural heritage, stereotypes and national identity.

Teachers' Beliefs and Culture Teaching

The area of teachers' beliefs is a relatively new field, which dates back more or less to the mid-seventies (Freeman 2002: 2) in mainstream education but is even more recent in TESOL (Borg 2003: 84). Although previous research has produced a rather mixed picture of research investigating beliefs, Johnson (1994: 439) identifies three basic assumptions underlying this growing body of research. First, teachers' beliefs have an effect on what teachers do in the classroom because beliefs affect perception and judgment. Second, teachers' beliefs are fundamental in learning to teach, because teachers are the end user and propagator of any theoretical or practical advancement in language learning and teaching. Third, understanding teachers' beliefs has an important role to play in improving teachers education.

Kagan (1992: 74) explains that teachers' knowledge of his or her profession is situated in three important ways: in context (related to specific groups of students), in content (related to particular academic material to be taught), and in person (embedded within the teacher's unique thinking pattern). Teaching beliefs are also viewed as the 'culture' of teaching (Richards et al. 1992: 84) and a 'filter through which a host of instructional judgments and decisions are made' (Johnson 1992: 448). The practical aim of research on teacher beliefs, should be to empower teachers by helping them become more aware of their teaching practices and working patterns thereby allowing them to establish their own professional development.

Considering the profound effect of culture on various aspects of language teaching from selection of text books to the various aspects of classroom teaching practices, teachers' perceptions, knowledge, and beliefs in this dimension of teaching are of significant value. According to Pajares (1992: 324) it is important to know if teachers modify their views about language teaching, how much they understand the concept and significance of culture, and what meanings of culture they use in their particular teaching context. Even for students to achieve communicative competence and raise their cultural awareness, teachers themselves need to have the relevant competence and cultural knowledge.

There are a very few studies conducted in European context on teachers' cultural beliefs, but there is not much literature available regarding teachers' belief exploration in foreign language teaching or specifically about culture teaching in Pakistani context. In this present study, I want to investigate what are the beliefs of English teachers regarding culture teaching in my region, Pakistan. How do Pakistani teachers view various theoretical and practical aspects of cultural teaching with language teaching? Moreover, what are their perceptions about concepts related to intercultural competence?

Methodology of Research

Questionnaires were distributed among the participants. The content was focused on finding out teachers' beliefs and knowledge of intercultural aspects of language teaching. It

had 29 questions in total, 24 Likert scale statements, two list questions and two open ended questions. The questionnaire was set with the aim of finding answers to the following questions:

How do teachers define culture?

What values do teachers associate with the teaching of culture in the classroom?

What aspects of culture associated with English language do they consider it important to teach?

What are teachers' opinions about some core concepts of intercultural competence (Cultural difference, shared cultural values, interaction between cultures, tolerance, teaching in multicultural classrooms)?

How do teachers see the impact of cultural elements on language learning?

What resources do teachers use to teach culture in language classes?

How do teachers allocate their time both for language and culture teaching?

What do teachers feel about the effectiveness of their initial teacher training in helping them understand cultural dimension of language teaching?

The rationale for selecting these questions is that they directly address the research questions and cover most aspects of culture in language teaching and intercultural competence. It ranges from defining culture, materials for teaching culture, practices of teaching culture, values associated with culture and teaching of culture, and various key concepts of intercultural competence.

In this study two sampling techniques were used i.e. 'convenience sampling' and 'snow ball sampling' (Dornyei 2003: 72). All teachers selected for this research had a Masters degree in English (equivalent to UK Bachelors) and were currently teaching English as Foreign Language at least, for one year in Pakistan. They came from different parts of Pakistan's Punjab province. Most of the teachers contacted for the research were enthusiastically willing to participate. Due to their keen interest, a fairly large sample of 103 valid questionnaires was gathered, including both paper and computer based versions.

Findings & Discussion

Questions in this survey were grouped into various thematic categories to present findings and to answer the posed research questions effectively. An exmaple of the grouping is shown below.
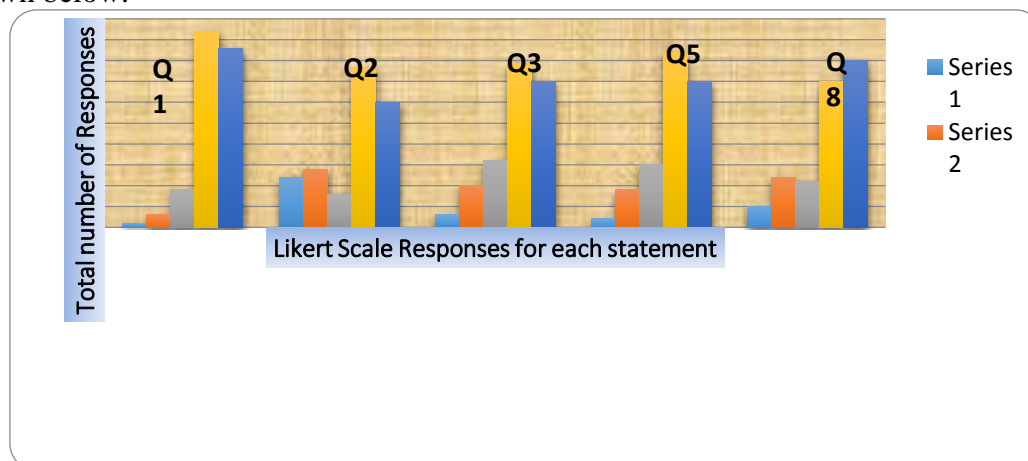
All questions in this group inquire teachers about their opinion of teaching language and culture together. The similar grouping was made for other questionnaire items. The results of the conducted survey to investigate Pakistani teachers' perceptions of teaching culture can be summarized as follow:

(76.8%) of teachers participated in the survey consider it valuable to integrate language and culture in the teaching of English as a foreign language. They value culture

greatly but do not see the positive effects of culture on the motivation of learners, or culture helping to communicate effectively with the people of other cultures.

The average agreement value of all four statements in group (B) dealing with cultural difference is (80.25%). It shows that teachers consider cultural differences important to teach culture effectively, but they had relatively less knowledge of dealing with them as part of intercultural competence.

(73.67%) of the teachers agreed or strongly agreed upon the value of interaction with other cultures and exploring the shared cultural values. They are of the view that foreign language teaching should help learners understand their own culture and identity as well as foreign culture and identity.

The average agreement responses value of the group is (66%). Among the respondents (82%) agree with a realistic presentation of foreign culture and (52%) strongly agree. (72%) of the teachers perceive that learning about cultures promotes tolerance, whereas (39%) of teachers think learning about a culture reinforces stereotypes about that culture.

(50.3%) of the teachers accepted that it is the language content that is given preference over cultural aspects of language teaching. More than half of them (55%) valued teaching of culture as important as teaching of language. The results show consistency with the results of group A. On language and culture integration, (69%) teachers disagree with the statement saying language and culture cannot be integrated.

(52%) of the teachers agree and (26%) teachers strongly agree with the concept of teaching differently in mono-cultural and multi-cultural classes.

(52%) of the teachers strongly agree that native speakers can more effectively teach about the English culture, in addition to those (31%) who agree with this statement.

36% teachers said their initial teacher training was helpful in terms of teaching cultural dimension of language teaching, whereas, (33%) opined that it did not give any help. (20%) of the teachers were indecisive about the degree of helpfulness of their initial teacher training to teach culture.

(83%) percent of the participants agreed that home culture based texts are easy to comprehend, in contrast, (46%) participants were in favour of the statement that culture specific activities and tasks are easier to practice for learners. The overall agreement for these two statements is (66.5%).

The most common sources used to teach culture by Pakistani teachers are the school textbooks (63 responses), literature (60 responses), newspapers (49 responses), books on cultural studies (37 responses), and internet (34 responses).

(3%) of the teachers said that they fully integrate language and culture teaching. Most of them (42%) give (80%) time to language teaching and (20%) to culture teaching and (33%) teachers give (60%) time to language teaching and (40%) to culture teaching. (12%) teachers give more time to culture teaching than language teaching.

The cultural aspects they mostly focus in the classrooms are beliefs, customs, traditions, identity, and education and schools.

The teachers defined culture as a collection of values, beliefs, life styles, customs, and traditions, which belongs to a society, individual or a social group. Culture exhibits a social unit and is the part of its identity. It is adopted by the people who belong to or want to be a part of that culture and it is transmitted to next generations.

Bearing in mind the realities of language learning and teaching in Pakistan helps us understand the teachers' responses to the statements in various groups. From my personal experience as a teacher and as a learner in Pakistan, communication is not regarded as a significant part of language learning and teaching and teachers justify it by arguing that learners do not come across situations where they have to use English as a medium of communication, especially in communication with the people from other cultures. So,

awareness of culture for effective communication is not a top priority for them. Although recently there has been an increased attention given to the communication in the curriculum and teaching practices, English is still not seen as a source for cultural exchange in the Pakistani context, so the teachers in general do not consider the awareness of cultural concepts as very important. That is one reason why even coursebooks published by international produced have a very high percentage of content focused on home culture.

A pattern emerging from the responses shows teachers clearly understand and acknowledge the value of culture and they consider it important to integrate language and culture but they do not regard it as essential, or equally important to the learning of language. Moreover, their selection of cultural aspects for teaching in the classroom, suggests that they are not confident in engaging with English culture. In terms of the understanding of intercultural concepts (shared values, cultural differences, interaction, tolerance, stereotypes), in these questions they had to make a choice on the basis of their knowledge and awareness of cultural concepts. They did show agreement to the value of these statements for culture teaching and intercultural competence, but there were comparatively higher numbers of neutral responses to these statements. It implies that they had limited acquaintance with the ideas and concepts related to culture and intercultural competence.

Conclusion

The study provided some valuable insights toward teachers' views and their current state of cultural competence. There was a consistency and a link between teachers' responses to various questions, which also reflects on reliability of responses. Moreover, I can relate and trace out the possible reasons behind the responses of teachers being a part of learning and teaching community in Pakistani culture, i.e. as a nation their world view is ideology driven— Islamic ideology.   Therefore, any aspect seemingly not in alignment with Islamic perspectives is hardly given any integration space. To sum up, the inclusion of both theoretical and practical aspects of culture in teacher training programs could help teachers to effectively integrate culture into language teaching practices in Pakistan. This would not only make English language learning and teaching more comprehensive, but it would also have a positive effect on people's attitude, and approach towards life by making them tolerant and welcoming towards other cultures. The findings of the study can also prove helpful to further explore the issues related identity, social integration, and debates like near-nativeness, and world Englishes etc.

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COGNITIVE INVESTIGATION OF THE INTEGRATED MENTAL BASIS OF CREATIVE WRITING

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Abstract

In the article it is suggested the cognitive theory of the poetic picture of the world as a methodological frame for further investigation of the poetic text. The main idea of the paper is that poetry as an art is based on the whole system of special conceptual structures which are the part of the conceptual picture of the world and these conceptual structures get representation in the language of the poetic text. The cognitive theory of the poetic picture of the world includes: defining the main cognitive function of the poetic picture of the world; defining the kind of knowledge, which is conceptualized through this function; structuring the field of this knowledge, highlighting its main structural elements which are under the process of conceptualization; defining the specific categories and categorical levels of the poetic picture of the world. Structural organization of the poetic picture of the world is the key point in the paper.

It is stated that poetry as a kind of human cognitive activity reflects the experience of interaction between the human being and the world ("I"-system, "World"-system). the poetic picture of the world as a mental construct fixes standards, expectations and stereotypes about what events and situations may be the subject of poetry and what language form they should be represented in.

Keywords: Cognitive poetics, poetic picture of the world, poetic concept, structures of knowledge, text

Introduction

The article is devoted to describing some theses of the cognitive theory of the poetic picture of the world as a methodological frame for further investigation of the poetic text as an object of cognitive poetics.

Poetic text is a sophisticated object for any philological or linguistics research. There are different approaches to the poetic text analysis. For this reason, different issues and features of the text are in the focus of different studies. One of the approaches consists in considering the poetic text as a special form of conceptual representation. We refer these works to the cognitive linguistics and cognitive poetic field.

Many cognitive poetic researches are mainly related to the conceptual analysis, individual author's picture of the world, figure/ground, prototypes, deixis, cognitive metaphor, schema theory, possible worlds theory, mental spaces, text world theory and contextual frame theory (Stockwell 2002, Brône Vandael 2009). All these studies are valuable, but the main idea of this article is that poetry as an art is based on the whole system of special conceptual structures which are the part of the conceptual picture of the world. They are represented in the language of the poetic text. Some of these structures have transpersonal character.

Analysis of a great number of writings in cognitive linguistics, cognitive poetics, psychology of creativity, text study showed clear tendency to investigate mental structures of

human consciousness through the language of poetry. As a result, it becomes obvious that unique features of the poetic language are shaped with special mental basis which can be defined as the poetic picture of the world.

Main Text

The complex relations between human's subjectivity and objective reality are in the focus of cognitive analysis. These relations have been changing in history. It is important to highlight that the occurrence of the term "picture of the world" coincidence with new perception of the world in XVIII century (Heidegger 1977). Initially, the true was objective as a part of the world. The picture of the world appears when the true becomes an object of human mind, not an object of the real world any more. Due to this fact that the principles of interaction between human's subjectivity and objective reality have changed the world reflected by human's eye became the focus of cognitive analysis.

From our point of view, ability to create poetry is a kind of cognitive activity of the human being. We consider the poetic text in the cognitive linguistics context as the verbal representation of special conceptual structures. These conceptual structures are the parts of the conceptual picture of the world, but they constitute a subsystem – poetic picture of the world. Poetic picture of the world contains artistic (poetic) concepts, models and schemas for storage and processing of emotional and aesthetic experience of the human being. Poetic picture of the world is represented directly in poetry and in poets' metatexts (theoretical writings) which are devoted to theoretical aspects of creativity – we can consider these metatexts as a secondary reflection on creativity.

One of the main tasks under consideration is finding out the common principles of conceptual representation in the poetic language. To investigate this issue we should remember that there are different types of knowledge are represented in the language. Types of knowledge which is the base for the poetic language are of different nature too. Focusing on the ontological triad (world system, system of language, conceptual system of the person), we distribute this knowledge as follows: encyclopedic knowledge is ontological for the world, language skills are ontological for the language (Boldyrev 2009: 30-34), and basic knowledge of the poetic concepts, models and mechanisms has conceptual and linguistic nature. The types of knowledge exist in a synthetic form due to the interaction between a man and the world.

From our point of view, any poetic text fixes different stages of relations between a man and the world because poetry we can consider as an attempt to find harmony in these relations. So, poetry reflects the experience of interaction between a human being and the world. Therefore, the human being and the world are represented as two interacting systems – "I"-system, "World"-system.

Poetic picture of the world is defined as aesthetically meaningful conceptual subsystem which structures creative activity of a person in the process of creating alternative poetic reality. The main features of the poetic picture of the world are subjectiveness, dominance of emotionality, I-centricity, fragmentariness (Maslova 2011).

We consider the poetic picture of the world is a kind of informational matrix which is the base for creating of alternative poetic worlds. Theory of the poetic picture of the world gives possibility to make a detailed study of creative conceptualization and categorization represented in the poetic language.

Thus, the considering the poetic picture of the world as a separate object of cognitive research includes several consecutive steps:
- defining the kind of knowledge, which is conceptualized through this function;
- defining the main cognitive function of the poetic picture of the world;

• structuring the field of this knowledge, highlighting its main structural elements which are under the process of conceptualization;

• defining the specific categories and categorical levels of the poetic picture of the world.

As it was said, the idea of subjective reflection of the world gives us an opportunity to speak about the interaction of two systems – "I"-system, "World"-system. Accordingly to this idea, the leading cognitive function of the poetic picture of the world is developing the ability of orientation in the subjective reality; it is the base for bringing "I"-system and, "World"-system in the balance.

The main knowledge which is conceptualized through this function is the aesthetically meaningful subjective vision of the existential and emotional personal situations. The main structural elements of the poetic picture of the world should be regarded as poetic concepts, which accumulate understanding of the existential, emotional and sensuous experience, as well as poetic categories.

Creation of a poetic text is possible not only with encyclopedic knowledge, and knowledge of the linguistic patterns, but also with special metapoetic knowledge and knowledge of principles of understanding of the poetic language (Table 1). We attribute the result of creative reflection and the result of theoretical understanding of poetry to metapoetic knowledge. Structural components of the knowledge of language (Boldyrev 2009) correspond to the structural components of the knowledge of the poetic language. Encyclopedic knowledge and metapoetic knowledge are the components which are behind the creation of a poetic text too. They have nonlinguistic nature and belong to the ontology of the world. Knowledge of the poetic language has linguistic nature and belongs to the ontology of the language. Knowledge of famous poetic images, models and ways of image transformation, knowledge of the main artistic models of representation/transferring of emotional impression, knowledge of precedent texts has conceptual and linguistic nature. Saying this, we mean ontological triad: system of the world – system of the language – conceptual system of the human consciousness.

From this point of view, the poetic text is a result of synthetic interaction of different structures of linguistic and non-linguistic knowledge. In this case, special knowledge interacts with that one which is necessary for everyday life – common knowledge.

Between the substructures of the knowledge of language and the substructures of knowledge of the poetic language the following analogy exists: the knowledge of the objects of the world in the lexical categorization corresponds to the knowledge of the major poetic models of the emotional experience transferring; knowledge of the spoken linguistic forms corresponds to the theoretical knowledge of versification, knowledge of interpretative nature of language units and categories corresponds to the knowledge of idiostylistic (author's stylistic) components of the poetic language.   Thus, the methods and principles of the poetic interpretation of the world and the poetic language as the way of linguistic representation of the poetic interpretation are based on common knowledge and spoken language, but they have their own unique structure. Therefore, poetry reflects the result of interaction between human being and the world ("I"-system, "World"-system).

Poetic picture of the world is represented in poetry as a reflection under vital and emotional experience and in metatexts which are written by poets end dedicated to theoretical aspects of poetry, secondary reflection under creative work.

Poetic language is a link in the chain: emotion, impression, experience – poetic language as a keeper of mental implement for configuring and representation of information – poetic discourse. Poetic language, in this case, is not only the way for correct representation of author's conception, but it is the way for correct reader's interpretation and understanding. So, we can define poetic language as poetic linguistic code, where the words and images have

special contextual meaning. Poetry is difficult for deep understanding without knowing of poetic linguistic code. This code is possible to reconstruct on the base of mass of typologically congenerous texts.

Table 1 shows that synthesis of components of knowledge, which takes place in writing poetry, related to creating special poetic code. This code helps to represent changeable man's attitude to himself and to the world. The fact of writing poetry is an attempt to reach harmony in the inner life.
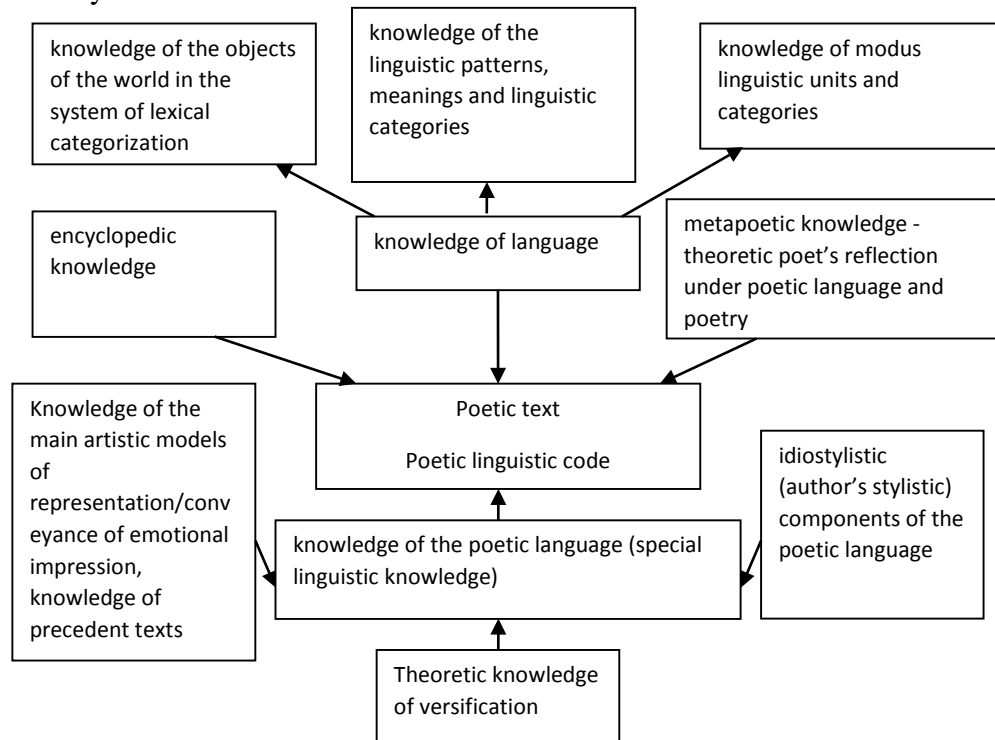

Table 1. Components of knowledge

Obviously, most of knowledge components are known to all members of the society and have a shared character. This fact ensures continuity in conceptualization and representation of aesthetically meaningful subjective vision of the existential and emotional personal situations. Components of knowledge are also used in the process of forming of the cognitive strategies.

Conclusion

In conclusion, it should be stated that the poetic text in cognitive context should be considered as verbal representation of special conceptual structures because it fixes special kind of information and reflects the experience of interaction between a human being and the world. In poetry special knowledge interacts with common knowledge and creative writing has the integrated mental basis which depends on author's mind only partially. So, we need in particular methodological frame for further investigation of the poetic text as an object of cognitive analysis.   Cognitive theory of the poetic picture of the world also includes study of artistic (poetic) concepts (Minakhin 2011) and their typology, further investigation of processes of conceptualization and categorization.

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THE WORLD WIDE WEB AND SOCIAL MEDIA AS COMMUNICATION CHANNELS FOR PROPAGATING BRAND MESSAGES OF HIGHER EDUCATION INSTITUTIONS IN THE DEVELOPING WORLD

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Overview

The communication of the brand message to target audiences is a very critical and challenging objective for any business organization. It holds equally true for academic institutions such as universities. Just as a business needs to target and acquire the "right" customers, a university needs to attract a good student body and faculty. In today's intensely competitive academic environment, universities have to constantly reinvent their marketing strategy and activities according to shifting trends. It is important to have a strong brand reputation in the marketplace and the points of differentiation need to be effectively communicated (Keller, 2003).   The primary purpose of the research conducted here was to evaluate the benefits of using social media for brand building of academic institutions in developing countries, particularly those involved with Higher Education in Pakistan.

To be effective, the brand message should address all the key stakeholders, namely current and potential students, current and potential faculty, staff, donors, and alumni. One way of addressing these stakeholders is the use of traditional marketing media such as letters, newspaper advertisements, printed brochures, and prospectuses. Unfortunately, these media are often very expensive, and do not create a seamless and ongoing two way communication with the audience.   Fortunately, the advancement in web-based media and availability of social media networks now provides an excellent opportunity to reach target audiences.

Social media marketing is one of the major forces but it itself forms a part of a holistic and primary communications strategy that also includes websites, email, and blogs. All these touch points have to be strategically formulated and integrated with each other. This enables the organization to communicate a clear and consistent brand message that enhances brand recognition and builds reputation.

Universities can benefit from the advantage of having a large student community at their disposal because people in the 18-25 demographic segment are the biggest users of social media (Inside Facebook, 2010) and information-seeking is an important reason for people to use social networking sites (Lin and Lu 2011). Students can be empowered and used to harness and drive the social media strategy. For instance, a social media student ambassador can be employed to represent each department. Nowadays, young people are connected and exposed to social media in one form or another throughout the day. If an organization wants to target this demographic, it is easy to decide which media to use for marketing if the amount of time and attention given to reading a newspaper is compared to the amount of time and attention given to social media networks.

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Importance of communicating the Brand Message through the WWW androgen Social Media

It can be said that a university is only as good as the quality of its faculty and student body. When a university is competing to attract top students, it is no longer enough to have a glossy brochure and bland newspaper advertisements. Some students can view brochures as school propaganda and be averse to the claims of perfection that are presented in a polished language. Potential students often visit websites for information, and Facebook to communicate with current students to find out about their experiences at a university. All these activities (blogs, student videos, testimonials, free online courses, virtual tour etc) give potential students a sense of what the campus culture is actually like. One of the biggest advantages of using social media is the ability to have a conversation with people as compared to simply pushing an advertisement directed at them. It offers a chance to enter into a two way dialogue with the audience, engage with them, and ultimately, form a positive and mutually beneficial relationship. According to research by Nielson (2012), the forms of advertising that are trusted the most are recommendations by peers (92%), consumer opinions posted online (70%), newspaper articles (58%), and brand websites (58%) (see Appendix 4). When searching for information about products, the forms of advertising that are cited to be most relevant are recommendations by peers (90%), consumer opinions posted online (75%), brand websites (59%), and newspaper articles (51%) (see Appendix 4). With people world over trusting governments and corporations lesser by the day, it is the people they know that matter more now than before, particular family and friends.

The communication on the World Wide Web (WWW) and social media is many-to-many, instead of the traditional one-to-many, and it is very important to listen to what the audience and key stakeholders are saying. Therefore, universities should avoid posting content on social media that presents a sugar coated and pristine image of the institution. Social media efforts should not be treated like public relations activities (Pidaparthy, 2011). In this regard, blogs are useful because they are personal, reflective, and honest. Students can use blogs to document their experiences or to suggest improvements; the faculty can highlight and discuss their research and talk about issues that they are passionate about; and the management can showcase events and activities taking place at the university. A limitation of Facebook and Twitter is that personal conversations on these networks are generally informal and revolve around entertainment and friendship. However, blogs allow students and instructors to easily have a constructive and professional dialogue. In an attempt to engage students in learning outside the classroom, instructors sometimes use their own websites to post topics on which students are encouraged to share their insights and thoughts (Ahmed, 2013) (see Appendix 2). Such interaction between students and instructors can be multifaceted and importantly it has the potential to bring a whole new dimension to learning, sometimes from the experiences of each other.

Major international universities like Harvard, Johns Hopkins, Oxford, Cambridge and LSE have realized the importance of social media and are reaching out to engage with potential students on Facebook, Twitter, YouTube, and through blogs. These universities have realized that a robust social media campaign, along with creative activities like student blogs can attract viewers. The importance of social media for universities can be seen from the fact that the American website "Student Advisor" now compiles a list of the top 100 social media colleges in USA and ranks them against benchmarks (see Appendix 3). Each of the top ranked university has its own unique way of delivering the marketing messages. The following examples highlight a few activities of the universities at the top of the list (Student Advisor, 2013).

Harvard incorporates videos, Facebook and Twitter etc into its own "Harvard Social Media Dashboard". Harvard has 211,780 followers on its Twitter account (see Appendix 1).

The high number of followers reflects how Harvard uses Twitter to inform its audience about research and teaching, and how it uses tweets to highlight blog posts and events

Johns Hopkins has a dedicated "Hopkins Interactive" website that includes various activities and student blogs

Stanford has introduced five free online courses after a pilot project that attracted more than 350,000 students from around the world. Stanford's YouTube channel has approximately 53 million views (see Appendix 1) because the channel is used to post videos of lectures and various courses

Ohio State e-mailed more than 100,000 high school students with the pitch, "Why not get to know the real Ohio State?" The activity was conducted to match up current and potential students through social media

• University of Oregon has an extensive social media index that provides links to various Facebook pages, Twitter accounts, and YouTube channels being used by the university

The LSE Impact blog team has analyzed and disseminated the results of a study by Searchmetrics that calculates the social media presence of British universities belonging to the Russell Group. Each university has been given a social media visibility score. The LSE team has standardized the results by giving different weights to universities depending on their size. The results indicate that larger universities are finding it difficult to leverage the benefits of social media (LSE Impact Blog, 2012). This is probably because larger organizations tend to be more conservative and the turnaround from decision making to execution is slower (LSE Impact Blog, 2012). The analysis shows that Facebook is being used for over 80% of the social media activities (LSE Impact Blog, 2012). The social media visibility of the studied universities is shown in the figures below (LSE Impact Blog, 2012):

(LSE Impact Blog, 2012)
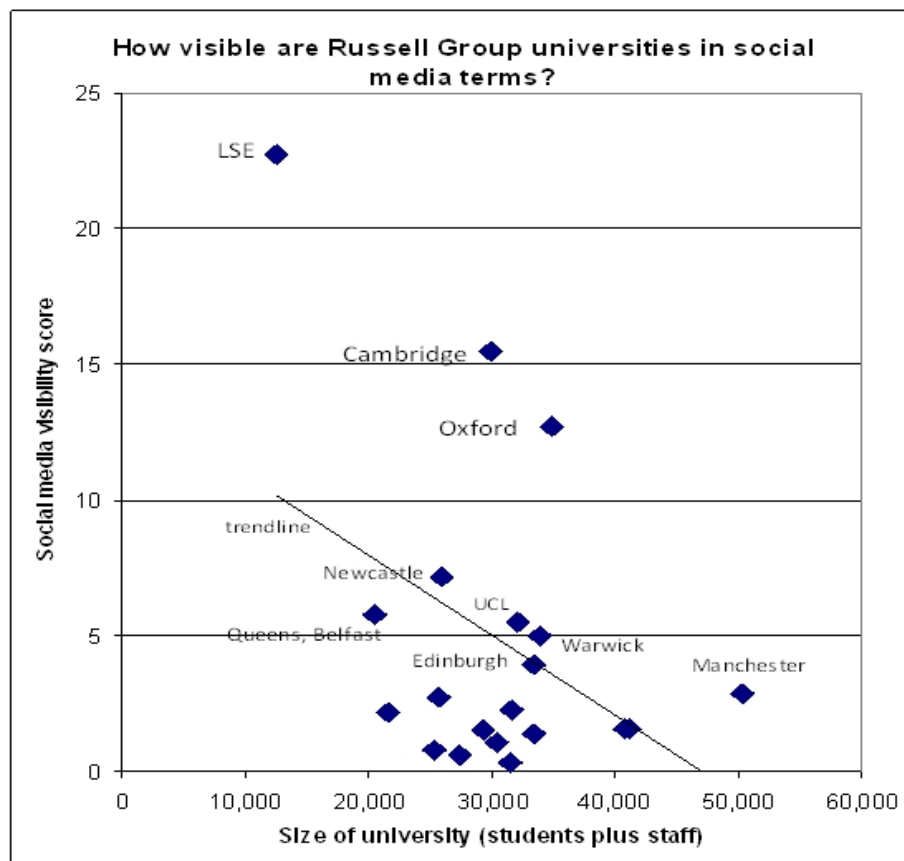
Table of social media visibility scores and scores standardized for university size, for 20 Russell Group universities in the UK

University	Searchmetrics visibility score	Number of staff	Number of students	Total University size	Visibility score/ size
London School of Economics	286,859	3,055	9,560	12,615	22.74
University of Cambridge	462,823	9,145	20,750	29,895	15.48
University of Oxford	442,758	10,375	24,465	34,840	12.71
Newcastle University	186,184	5,755	20,250	26,005	7.16
Queens University Belfast	118,137	3,500	17,000	20,500	5.76
University College London	176,202	8,890	23,225	32,115	5.49
University of Warwick	169,462	5,005	28,870	33,875	5.00
University of Edinburgh	131,053	7,735	25,690	33,425	3.92
University of Manchester	143,186	9,950	40,400	50,350	2.84
University of Bristol	70,656	5,520	20,190	25,710	2.75
University of Glasgow	72,211	6,080	25,600	31,680	2.28
Imperial College London	47,321	6,750	14,865	21,615	2.19
University of Nottingham	64,381	7,045	34,120	41,165	1.56
University of Leeds	63,802	7,230	33,585	40,815	1.56
University of Southampton	44,106	5,545	23,735	29,280	1.51
Cardiff University	46,053	5,880	27,555	33,435	1.38
King's College London	31,762	5,965	24,500	30,465	1.04
University of Liverpool	20,444	4,755	20,590	25,345	0.81
University of Birmingham	15,873	2,560	24,835	27,395	0.58
University of Sheffield	9,912	5,515	25,970	31,485	0.31

(LSE Impact Blog, 2012)

While not exhaustive, these examples nonetheless indicate that social media is no longer a fad. The organizations that are taking it seriously and using it to leverage their strengths are being rewarded. An effective use of social media for engaging target audiences can help shorten the gap between the intended brand message and the brand message that is actually received or perceived. It can provide a glimpse into the actual culture and happenings of the university beyond the listless pages of a brochure or prospectus. Ambitious students need to be targeted, because they expect a high academic standard and value for their money. However, they also seek a sense of adventure from their chosen institution; a sense that it is not perfect and should not claim to be. Such students prefer an institution that offers an environment that is conducive to learning, growth, and maturity, which will give them memories that they cherish for life. All these elements feed into the culture of an institution and should become a part of the brand message. The strength of social media is that it allows all these elements to be regularly communicated as they happen.

What Do the Statistics Say?
General Statistics

It was expected that 88% of organizations would be employing social media marketing by 2012, increasing from 42% in 2008 (Williamson, 2010)

More than 50% of social media users followed brands on social media in 2011 (Van Belleghem, Eenhuizen, and Veris, 2011)

People are 65% more likely to buy a product after engaging with the community of customers and experts therefore organizations should actively monitor social media conversations (Tsai, 2009)

Organizations are leveraging social media to handle customer service issues, mine innovation ideas, and 'authentically' engage with customers; and not just to advertise and promote their products (Solis, 2010)

Worldwide marketing spending on social networking sites is approximately $4.3 billion (Williamson, 2011)

People who become fans of brand pages tend to be loyal, and are more open to receiving information about the brand (Bagozzi and Dholakia, 2006)

Brand fans generate more positive word-of-mouth, and are more emotionally attached to the brand than non-brand fans (Dholakia and Durham, 2010)

Entertainment value is an important factor in using social media (Cheung, Chiu, and Lee, 2011; Lin and Lu, 2011). Entertainment leads people to consume, create or contribute to brand-related content online (Muntinga, Moorman, and Smit, 2011)

40% of people socialize more on WWW instead of face to face (Creotivo, 2012)

• 74% of brand marketers have seen an increase in website traffic after investing 6 hours per week on social media (Creotivo, 2012)

62% of marketers say that social media has become more important to their campaigns in the last 6 months (Creotivo, 2012)

Globally, 91% of mobile internet is accessed for social activities (Creotivo, 2012)

People between the ages of 45 to 54 years were the highest growing group of social media users from 2011 to 2012 (Edison Research, 2012). This makes social media significantly important as parents are often active participants in the decision making process of their children's university choices, especially in the developing world where education is considered to be a life changer of sorts and a guarantee to a successful future in the wake of poor government support in terms of infrastructure, medical care, investment opportunities and more.

The global average of time spent on social networks daily is 3.6 hours (Ipsos Open Thinking Exchange, 2013)

Facebook
Facebook has 552 million daily users (Creotivo, 2012)
Facebook is the number one social marketing tool for brands at 83% (Creotivo, 2012)
Facebook is the most visited website in Pakistan (Alexa, 2013)
58% of Facebook users use it daily (Creotivo, 2012)
23% of Facebook users check their account five or more times daily (Edison Research, 2012)
An average Facebook user has 229 friends (Creotivo, 2012)
The use of Facebook has been found to be positively associated with higher levels of self-satisfaction and social trust (Valenzuela et al., 2009)

Twitter
Twitter has 6.9 million daily users (Creotivo, 2012)
Twitter is the second most used social marketing tool at 53% (Creotivo, 2012)

- 92% of re-tweets on Twitter are based on interesting content (Creotivo, 2012)

LinkedIn

LinkedIn has 25 million daily users (Creotivo, 2012)
- 42% of LinkedIn users update their profile information regularly and 61% use it as their primary professional network (Creotivo, 2012)
Pakistan is at number 10 in terms of worldwide LinkedIn users (Social Bakers, 2013)
- LinkedIn is the ninth most visited website in Pakistan (Alexa, 2013)

Social Media Marketing: A Strategic Process

Organizations can sometimes view marketing as a functional discipline rather than an integrated business process. This leads to the belief that "the discipline is about tactical and generally superficial segmentation and positioning rather than real innovation and the creation of sustainable competitive advantage" (Doyle, 1995). The same applies to the WWW and social media marketing. In order to stay ahead of the game the creation and propagation of all communication needs to be based on a properly defined strategy and every tactical activity should be goal-oriented and judged against pre-defined performance indicators. Knowledge about current and future trends and an ability to evolve and innovate can in general turn the Web and more specifically social media marketing into a source of sustainable competitive advantage for the organization.

The Challenges of communicating through Social Media

The above discussion and statistics highlight the strengths of the WWW and social media as a playing field for marketing and communication. However, as with any other marketing tool and technique, social media also offers some challenges; despite its intrinsic strengths that include low costs, ability to pinpoint specific market segments and tailor messages to them, interactive capabilities, and the possibility of content going viral (Belch and Belch and Purani, 2013). A noteworthy advantage of social media sites compared to traditional media includes the consulting role that platforms like Facebook and Twitter provide for their business customers such as advice on how to improve the brand's online presence. It is important to be aware of the limitations as well as potential risks before formulating the communications strategy.

Social media has shifted the control of the brand from the organization to the consumer. Fournier and Avery (2011) define this shift as "Open Source Branding". Open source branding is when "the consumers gain an equal, if not greater, say than marketers in what the brand looks like and how it behaves" (Fournier and Avery, 2011). It means that the consumers become the creators and disseminators of branded content. In this scenario, it is important for the organization to become an active listener and be aware of what the audience is collectively talking about (Fournier and Avery, 2011). The interests and behaviour of the audience are not always in an organization's favour. The convenient access to information empowers people and they can easily highlight an organization's shortcomings or unethical practices (Fournier and Avery, 2011). The relative lack of controls and regulations as compared to traditional media makes the World Wide Web alluring yet dangerous. It is important to be authentic, open, and honest while communicating through social media. Users grouped together can be powerful advocates of a brand but can also criticize it as a group. However, this also provides an opportunity to listen to valid criticism, learn from it, and improve the quality of the product/service and the experience. Attempts made to control the negative word of mouth communication of unsatisfied users are known to backfire. The social media playing field not only encourages, but demands, flexibility, opportunism, and adaptation (Fournier and Avery, 2011). Therefore the ability to identify communication

opportunities and act on them also becomes critical. To be constantly involved with the audience and to be a welcome partner in the social media conversations, collaboration is the key to success. Again, in the form of students and faculty, universities are in the lucrative position of having scores of collaborators present within their walls.

Further Research

Analyzing the use of various types of interactive media by the highly ranked Universities of the world can provide some guidance for brand building of academic institutions in the developing world. A limitation of this study is that the only country reviewed was Pakistan and while some social networking sites are very popular here, namely Facebook and LinkedIn, and some are banned (namely YouTube), the popularity of social networking sites may vary from one country to the other. Further research must be conducted to develop a better understanding of user behaviour on social media in general and the presence of brand messages on the same in particular, the factors that play a role in attracting and engaging users, and the activities that create value for them. An ethnographic study to understand the behaviour of users in terms of the information they access and how they actually interact with this information on interactive media can help determine the effectiveness of the medium for the purpose of brand building of academic institutions in the developing world.

Appendix 1

The following table shows the social media presence of some universities. Some of these universities are the top social media universities in the US and UK and they are communicating their brand message through social media networks, websites, and blogs. A comparison of the numbers from 2012 to number from 2013 shows that social media presence is growing quickly and steeply.

Institution	Facebook		Twitter		YouTube	
	Mar '13	Feb '12	Mar '13	Feb '12	Mar '13	Feb '12
Johns Hopkins (USA)	37,490	16,976	29,368	4,324	806,024	89,501
Harvard (USA)	2.5 million	1.2 million	211,780	95,352	13.4 million	89,501
Columbia (USA)	71,526	33,321	16,834	2,426	2.6 million	184,071
Stanford (USA)	513,000	N/A	111,799	N/A	52.9 million	N/A
Notre Dame (USA)	73,456	52,569	21,301	5,014	3.6 million	1.3 million
Ohio State (USA)	485,000	407,848	49,607	25,111	502,973	153,575
Oxford (UK)	987,000	N/A	64,413	N/A	1 million	N/A
Cambridge (UK)	342,000	N/A	52,318	N/A	5.3 million	N/A
LSE (UK)	71,862	N/A	9,082	N/A	1.5 million	N/A

Appendix 2

Webpage Screenshot
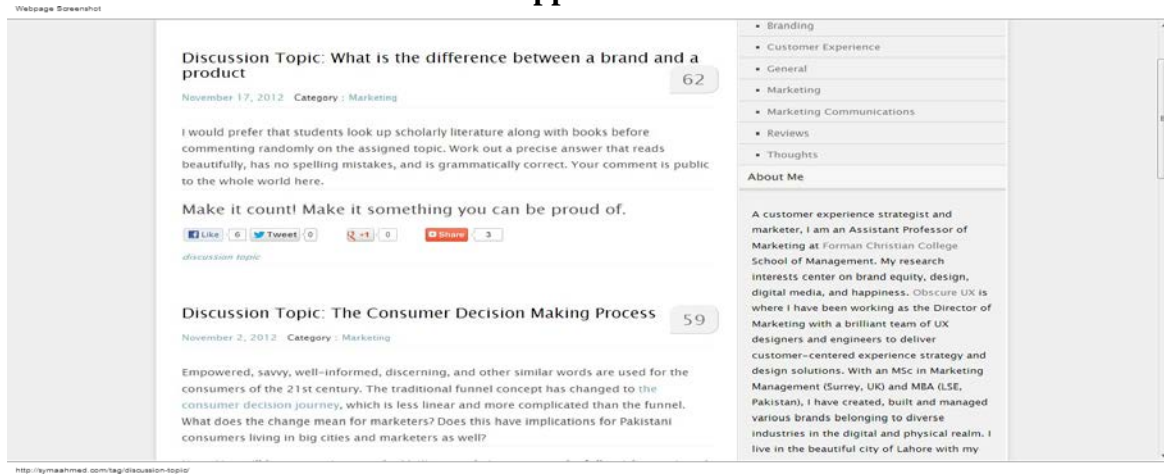
(Ahmed, 2013)

The numbers displayed on the right beside every post title are comments by students.

Appendix 3

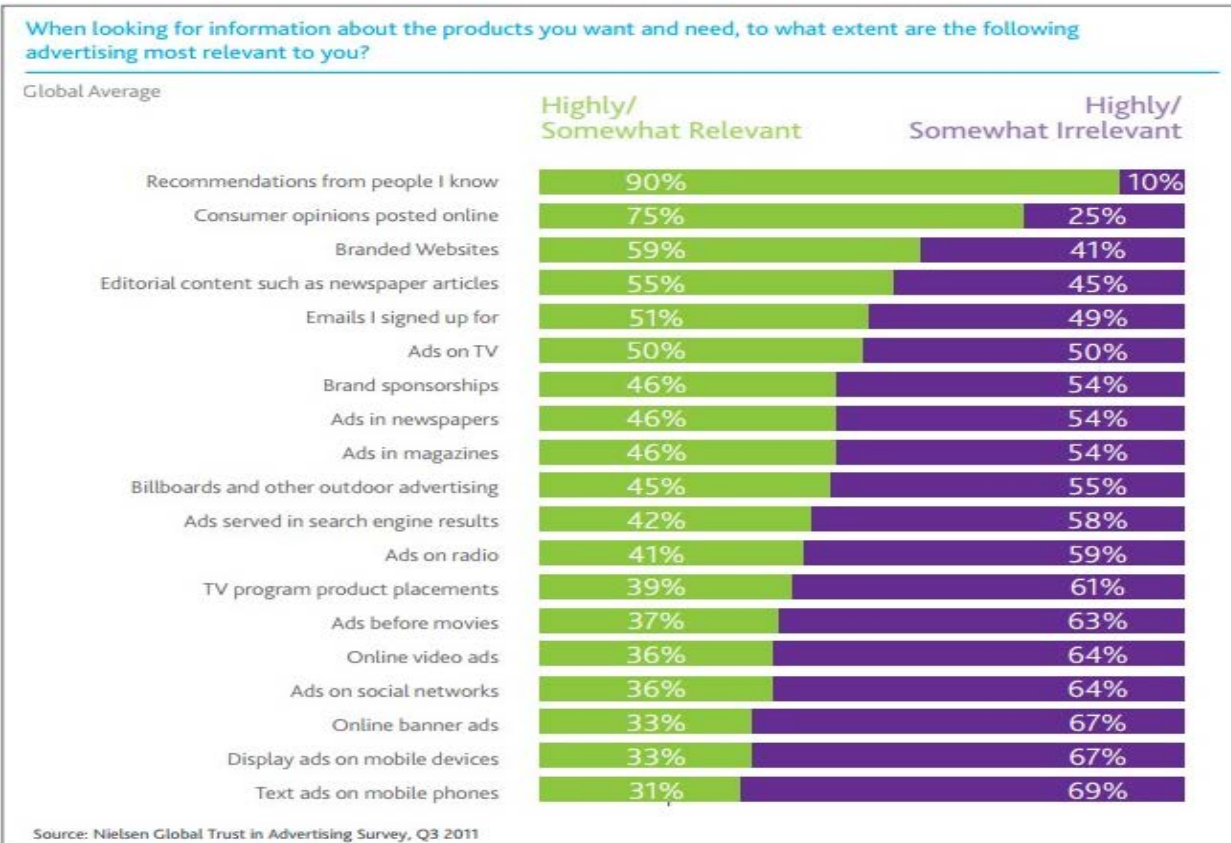| Top 20 Social Media College in USA			
1	Harvard University	11	University of Oregon
2	Johns Hopkins University	12	University of Texas at Austin
3	University of Notre Dame	13	Emerson College
4	Columbia University	14	University of Florida
5	Stanford University	15	Yale University
6	Ohio State University	16	Princeton University
7	University of Kentucky	17	Dartmouth College
8	Louisiana State University	18	University of Miami
9	University of Washington – Seattle	19	Full Sail University
10	United States Military Academy	20	Butler University
Full list available at: http://www.studentadvisor.com/top-100-social-media-colleges			

(Student Advisor, 2013)

Appendix 4

To what extent do you trust the following forms of advertising?

Global Average

	Trust Completely/ Somewhat	Don't Trust Much/ At All
Recommendations from people I know	92%	8%
Consumer opinions posted online	70%	30%
Editorial content such as newspaper articles	58%	42%
Branded Websites	58%	42%
Emails I signed up for	50%	50%
Ads on TV	47%	53%
Brand sponsorships	47%	53%
Ads in magazines	47%	53%
Billboards and other outdoor advertising	47%	53%
Ads in newspapers	46%	54%
Ads on radio	42%	58%
Ads before movies	41%	59%
TV program product placements	40%	60%
Ads served in search engine results	40%	60%
Online video ads	36%	64%
Ads on social networks	36%	64%
Online banner ads	33%	67%
Display ads on mobile devices	33%	67%
Text ads on mobile phones	29%	71%

Source: Nielsen Global Trust in Advertising Survey, Q3 2011

(Nielsen, 2012)

When looking for information about the products you want and need, to what extent are the following advertising most relevant to you?

Global Average

	Highly/ Somewhat Relevant	Highly/ Somewhat Irrelevant
Recommendations from people I know	90%	10%
Consumer opinions posted online	75%	25%
Branded Websites	59%	41%
Editorial content such as newspaper articles	55%	45%
Emails I signed up for	51%	49%
Ads on TV	50%	50%
Brand sponsorships	46%	54%
Ads in newspapers	46%	54%
Ads in magazines	46%	54%
Billboards and other outdoor advertising	45%	55%
Ads served in search engine results	42%	58%
Ads on radio	41%	59%
TV program product placements	39%	61%
Ads before movies	37%	63%
Online video ads	36%	64%
Ads on social networks	36%	64%
Online banner ads	33%	67%
Display ads on mobile devices	33%	67%
Text ads on mobile phones	31%	69%

Source: Nielsen Global Trust in Advertising Survey, Q3 2011

(Nielsen, 2012)

Appendix 5
Glossary of Terms

Term	Definition
Brand Recognition	Requires consumers to identify the brand under a variety of circumstances and can rest on the identification of any of the brand elements (e.g. logo, packaging, tagline)*
Brand Reputation	It is the accumulation of views about the brand externally. It is a positive image that is reinforced over time and is relatively stable***
Points of Differentiation	Attributes or benefits that consumers strongly associate with a brand, positively evaluate, and believe that they could not find to the same extent with a competitive brand*
Positioning	Designing the company's offer and image so that it occupies a distinct and valued place in the target customer's minds*
Segmentation	Dividing the market into distinct groups of homogenous customers who have similar needs and consumer behaviour, and who thus require similar marketing mixes*
Sustainable competitive advantage	A firm's ability to achieve and advantage in delivering superior value in the marketplace for a prolonged period of time*
Target Audiences	People who receive the marketing message*
Touch-points	Every point in time the customer 'touches' or connects with a company throughout the entire product/service delivery; pre-, during and post-purchase**
*Keller, 2003; **Touchpoint Experience, 2013; ***Veloutsou and Scott, 2005	

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QUALITY OF EDUCATIONAL PROVISION IN FAST TRACK RESETTLEMENT SCHOOLS IN ZIMBABWE: A CASE STUDY OF CHIWODZA PRIMARY SCHOOL

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Abstract

This study sought to establish the quality of educational provision in primary schools in newly resettled farms in Zimbabwe through the Fast Track land reform programme that commenced in 2000. The schools, meant to service children of the newly resettled farmers, were hastily set up without much planning, thereby raising concerns on the quality of educational provision. The research adopted a case study design in which Chiwodza School was selected as a single case for deep probing. Data were collected using ethnographic techniques such as observation, document analysis and interviews with staff at the school.

An analysis and interpretation of data established that there was a plethora of problems that affected the teaching and learning process in schools in newly resettled farms in Zimbabwe, thereby affecting negatively the quality of educational provision. Prominent among these problems were poor infrastructure, shortage of instructional materials, inadequate support from the Responsible Authority and School Development Committees, lack of staff development for teachers and school heads, and a general negative attitude of parents towards assisting the schools. The study recommends, inter-alia, urgent government subvention in the provision of classrooms, teachers' accommodation and ablutions, while parents and the responsible authority, on the other hand, should assist with the provision of instructional materials.

Keywords: Educational quality,curriculum,

Introduction

At independence in 1980, Zimbabwe adopted the policy of quantitative expansion of the education system in order to increase access to education to the majority of the people, particularly the African population that had been disadvantaged due to racial policies of the colonial era. Consequently, Zimbabwe has experienced an unprecedented expansion of the education system in the past two and half decades of independence, with the last five years being mainly focused on increasing educational provision to 'new farmers' resettled in former Large Scale Commercial Farms (LSCF) under the 'Third Chimurenga' also known as 'Fast Track' agrarian reform. The hastily instituted Third Chimurenga/Fast Track land resettlement created a problem of what to do with the education of children of the new farmers, thus, provision of schools in the newly resettled farms had also to be 'fast-tracked'.

In a few lucky cases, the new farmers were settled on LSCFs that had existing schools but, in the majority of cases, schools were non-existent altogether. It should be noted that historically, African workers in LSCFs were underserved in terms of access to education because white commercial farmers did not regard it as their obligation to build schools for African workers on their farms (Sithole, 1999). Even in the few cases where schools were already in existence, there were some deep-rooted traditional problems affecting the quality of

education. For instance, the majority of such schools established by white commercial farmers during the colonial era were manned by untrained temporary teachers and headmasters, operating under acute shortages of textbooks and other teaching resources. They also suffered from poor management and supervision of the learning environment since most headmasters were not qualified for the job (Chikomba, et al 1999). Therefore, the new farmers who were settled in such historically disadvantaged areas were confronted with an education system with inherent problems of quality.

In the majority of cases where the new farmers were settled in LSCFs that had no schools at all, they, together with the government, faced the urgent task of providing schooling facilities for children. The government had to fast-track the establishment of schools because it was politically inexpedient not to accommodate the demands for education for the new farmers' children. The Sunday Mail newspaper of 13 June 2004 reports that to meet this challenge, tobacco barns and farm workers' houses and, in some cases, pig-sties were converted into classrooms. Where no such infrastructure existed, new farmers erected pole and dagga, grass-thatched classrooms such as in the case of Chijaka School in Makonde District (The Sunday Mail, 16 January, 2005).

While access to education was somewhat assured through such measures, it would appear that the first casualty of this development was the quality of education. Coming from a background of being poor peasants, the new farmers could not afford to provide school facilities such as good quality classrooms and instructional resources (Nhundu, 1999). Because of this constraint, the new schools often failed to meet the Ministry of Education registration requirements. As Nhundu (1999) postulates, for the reason above, the majority of Fast Track schools remain unregistered and, therefore, do not qualify for government subvention. This, inevitably, has infrastructure and resource mobilisation implications for the schools.

Media reports about the conditions of learning in schools in the newly resettled farms portray a sad scenario. For example, The Standard newspaper of 28 November, 2004 reports:

….a visit to most primary schools in the Third Chimurenga resettlement areas reveals cracked walks, sagging rafters and unglazed windows. Parents have watched helplessly as their children cram into former tobacco barns, where lessons are conducted under stifling conditions.

The Herald of 12 January 2005 also reports that teachers shunned being deployed in schools in newly resettled farms. They cited lack of basic infrastructure and resources like teacher's houses, viable transport, piped water and electricity as the major reasons why they resented deployment in such schools. Within the same perview, the Gweru Times newspaper of 7 January 2005 quotes the Midlands Deputy Provincial Education Director (DPED) responsible for quality assurance lamenting that Grade Seven results in the province showed that the quality of pupil achievement had generally declined since the onset of the Third Chimurenga agrarian reform. He is further quoted as having pointed out that the worst performance was by schools established in new farming areas set up under the Third Chimurenga agrarian reform. Pupils' academic achievement is one of the main indicators of the quality of education (Fuller, 1986), although it is itself a by-product of several other processes and factors, which also warrant consideration.

All this comes against a background where the Zimbabwean government, through the Ministry of Education, Sport and Culture (MOESC), has since shifted its attention from quantitative expansion to focus more on qualitative improvement of educational provision (MOESC, 2004). Policy planners now place greater emphasis on quality of education indicators such as equitable distribution of trained teachers and headmasters, availability of textbooks and other instructional resources and the management of the learning environment (Chikomba et al, 1999). Therefore, the challenges regarding educational quality in Zimbabwe

is, paradoxically, resultant from the system's own success in expansion and increase of access to education by the under-served groups.

It is on the basis of the fore-going observations that the researchers were prompted to make a contribution to the on-going educational discourse about issues pertaining to quality of educational provision through an in depth study of Chiwodza Primary School. The school was established in January 2002 on Central Estates, a ranch formerly owned by LONRHO Zimbabwe, but now settled by new farmers under the government's Third Cimurenga/Fast Track agrarian reform.

Main Text
Literature Review

As pointed out earlier, the issue of quality of education is currently a major curriculum issue of concern in Zimbabwe as it is elsewhere the world over. The theme of educational quality should be understood within the context of educational reform which Zimbabwe has been pursuing since attainment of independence in 1980. This view is energized by Kapfunde (1999) who points out that at independence, the Zimbabwean government adopted an educational reform policy geared to increase access to education, enhance curricular relevance and improve the quality of education. Hawes (1979) concurs that in the field of curriculum studies the issue of quality of education should be considered within the framework of quantity-quality dichotomy. This quantity-quality dichotomy features prominently in the post independence educational reform policies in sub-Saharan African countries, Zimbabwe included (Kapfunde: 1999; Nhundu: 1999). A post independence expansion of the education system in Zimbabwe when human, financial and material resources were in short supply led to a rapid deterioration of quality as indicated by shortage of classrooms, qualified teachers, textbooks and other instructional materials (MOESC: 1993).

Although the term quality education is widely used on the Zimbabwean educational landscape, this concept is little understood and also hard to define. Fuller (1986) points out that the definition of the term 'quality of education' is almost elusive. In Zimbabwe the term 'quality of education' is loosely used to refer to academic achievement of pupils. Schools with high pass rates are regarded as high quality schools (Mahere, 2004). Thus, in general, there has been a strong leaning towards output approaches in determining the quality of educational provision. This approach has some limitations because it is silent on the learning conditions, supervision and management of the learning process. Further, learner characteristics are not considered yet they are important inputs that determine academic achievement. The above features are important benchmarks that determine the quality of education. However, as Fuller (1986) argues, a school that emphasises on academic excellence alone and ignores the physical, moral and cultural outcomes is a low quality school.

The above description of the quality of education provides a key aspect of the theoretical framework for this study. As noted earlier, in most cases the term has parochially been applied by considering pupils' pass rates only. Yet a holistic definition would adopt what Romiszowski (1984) calls a systems approach that considers the inputs, processes and outputs of the education system. From an epistemological point of view, quality of education is a function of inputs and efficient management of those inputs to produce a worthwhile product (Fuller, 1986). In this case, the term 'quality of education' would be defined in the context of the availability of education resources and their management to produce an academically excellent student who is well groomed culturally, physically and morally.

This study intended to shift from the parochial paradigm that focuses on academic excellence only, to adopt a broader perspective that considers a holistic analysis of the learning environment in schools. Informing this paradigm are the studies of Fuller (1986), Munuane (in Ross and Mahlck 1990) and Hughes and Coombe (1986). Munuane (in Ross and

Mahlck 1990) points out that every society has certain explicit and implicit measures or status indicators that determine the quality of education. In Munuane's (1990) view, status indicators of the quality of education are a combination of educational inputs, processes and outputs. In consonant with this view is Fuller (1986) who contends that the quality of education is characterized by school inputs, management practices and student performances.

Educational inputs feature among the most important internal indicators of quality. According to Munuane (in Ross and Mahlck, 1990), educational inputs include financial, physical and manpower measures associated with resources that are provided for students at each educational level. Within this framework, financial measures can be understood in terms of educational expenditure per student. Heyneman (in Ross and Mahlck, 1990) postulates that schools with good quality of education are epitomized by huge financial expenditures per student. On the other hand, schools with poor quality of education are characterized by low expenditures per student as exemplified by rural and farming community schools in developing countries like Zimbabwe. Kapfunde (1999) concurs with this viewpoint, pointing out that the growing financial squeeze experienced by many developing countries led to unpalatable policy choices like spreading available resources thinly and by cutting expenditures on textbooks, library facilities and deferring repairs and maintenance of physical structures such as classrooms.

The benchmarks for quality education discussed earlier and problems threatening the provision of quality education cited above form the basis for evaluating the quality of educational provision in Fast Track schools as represented by Chiwodza Primary School in the current study.

Statement of the problem

The study stems from the observation that during the Fast Track land reform exercise embarked upon by the Zimbabwean government in 2000, schools were hastily set up to cater for children of the newly resettled farmers. The majority of such schools were set up in makeshift structures in former white commercial farms without much planning, thereby raising concerns regarding the quality of educational provision in such schools. The study, therefore, sought to investigate and determine the quality of educational provision in the FastTtrack schools, using Chiwodza Primary School as a case study cite.

Research Questions

What is the nature and state of the physical infrastructure at Chiwodza School?

What is the level of teachers' academic and professional qualifications?

What is the nature and state of educational facilities and resources?

What is the nature of the management and supervision of teaching and learning at Chiwodza School?

Justification of the study

Research and evaluation are of immense practical value to the curriculum theory building process, which, in turn, informs practice in schools. It is within this purview that the researchers viewed the relevance and significance of this study which sought to evaluate the quality of educational provision at an identified Fast Track school in Zimbabwe. It is hoped that this study provides information which may contribute to the improvement of the quality of education in the Zimbabwean education system in general, and the emerging schools established as a result of the Fast Track agrarian reform in particular.

Significance of the study

The study attempted to establish the nature and quality of educational provision at a selected Fast Track school in Zimbabwe. It is hoped that the findings of this study will be beneficial to frontline participants in curriculum implementation who include teachers, school administrators, and pupils at Chiwodza School and other schools in the same situation. This is so because the study explored experiences, problems and challenges in such schools and insights obtained through the study may be useful in attempts to improve the quality of education.

The research findings may also assist policy makers in their decision-making process. It is the researchers' cherished hope that the findings of this study will be of practical value to the quality assurance department at the provincial offices in the MOESC.

It is also hoped that the findings of this study may, in a special way, add value to the ever-expanding body of knowledge in the field of curriculum implementation, change and innovation.   Lastly, it is hoped that the findings of this study may act as an impetus to academics and other curriculum theorists to conduct detailed research on the subject covering a wider sample of such schools.

Delimitation of the study

As a Case study, this research focused on Chiwodza Primary School in Gweru District in the Midlands Province of Zimbabwe. Focusing on a single case allowed the researchers more time to make an in-depth probe and analyze thoroughly the nature and quality of education at the chosen school. Deep probing of Chiwodza Primary School, it was hoped, would provide some insights which could be useful to other schools in the same category (Wolcott in Chisaka, 2000). The participants in this study included the headmaster and six teachers at the school. The DPED in charge of quality assurance in the Midlands Province was also part of the participants since he was in a better position to provide a broader perspective of the quality of education in primary schools in newly resettled farms.

Limitations of the study

The main limitation to this study was that it was based on a single case. Like any other case study, its findings may, therefore, not necessarily apply to other schools in a similar situation and this posed a threat to the external validity of the findings.

Research design

This research adopted the case study method of investigation, which lends itself more to the qualitative research paradigm. Choice of this design is supported by Cohen and Manion (1989) who expound that educational phenomena, by their very nature, lend themselves to emphasis on the interpretive and subjective analysis as opposed to the objective positivistic approach, and hence are best explored by case study methods. In further support of this approach, Wiersna in Chikwa (2004) contends that, a case study enables the researcher to obtain detailed information, which would be analyzed, patterns extracted and comparisons made within a limited time scale.

Though the study focused on the quality of education in primary schools in newly resettled farms in general, Chiwodza School was delineated for deep probing because the researcher felt that the conditions of learning at Chiwodza were supposedly representative of the quality of education in other schools in the same situation. Borg and Gall (1996) support this view positing that, an in-depth observation and analysis of a single case can provide insights into many other similar cases.

This study adopted what Mavhunga (1998) quoting Borg and Gall (1989) calls the "situational analysis" case study in which the points of view of all participants were surveyed.

In this case the viewpoints of teachers, the Teacher-in-Charge (TIC) and the Headmaster were elicited through interviews. Further, the views of the Deputy Provincial Education Director (DPED) responsible for quality assurance in the Midlands province under whose jurisdiction the school fell were also sought. It was the researcher's hope that the views of all the major participants would lead to a deeper understanding of the quality of education at Chiwodza School, and other primary schools in the same position.

To consolidate the "situation analysis" case study approach, observational methods were also used in which the researcher undertook class observation. In line with advice from Borg and Gall (1996) and Robson (1993) observation in this qualitative research involved taking field notes as the study proceede, thus, allowing the researcher to use triangulation of various methods of data collection. This was necessary in order to achieve internal validity of the results as noted by McMillan and Schumacher (1993).

The other method of data collection employed in this case was analysis of documents such as class registers, record books, inventories, and lesson observation reports. For the purpose of this study, these documents were 'interrogated' to provide insights about the quality of education at Chiwodza School. It was hoped that information about availability of instructional materials, management and supervision competence of the Headmaster and the Teacher-in Charge and job competencies of the teachers would be revealed by these documents.

The participants

This study chose Chiwodza School as the source of information. Data were collected from the Headmaster, the T.I.C and the four teachers at the school. Because of the small numbers involved, the whole population was considered for data collection. The researcher also found it imperative to solicit information from the Deputy Provincial Education Director (DPED) responsible for quality assurance in the province where the study site is located, since his department is pivotal in the maintenance of quality education in the schools at provincial level.

Data collection methods and instruments

Basically, three ethnographic techniques were used to collect data in this study, namely interviews, document analysis and observation. These were triangulated in order to increase the validity of the results. This is in line with the viewpoints of Cohen and Manion (1989) that if two or more different methods are used and yield basically the same results, then the validity of those results is assured. The researchers, therefore, assumed that the use of multiple techniques of data collection provided a better portrayal of the Chiwodza situation.

Interviews

For the purpose of this study, four sets of respondents were interviewed namely the school head, the six teachers, the TIC and the Deputy Provincial Education Director responsible for quality assurance. Therefore, four sets of interview guides were prepared in line with Robson (1993), who contends that in focused interviews, the researcher uses interview guides, specifying key issues.

All the interview guides had two types of items namely fixed alternative and open-ended items. The fixed alternative items allow the respondent to choose from two or more alternatives. Kerlinger in Cohen and Manion (1989) supports the use of fixed alternative items, outlining that they have the advantage of achieving greater uniformity of measurement and therefore greater reliability. Mavhunga (1998) also points out that fixed alternative items have the added advantage that they make respondents answer in a manner fitting the response category and responses are more easily coded.

Being aware of the limitations of the fixed alternative items, that is, they tend to be restrictive on the respondents; the researcher also included open-ended questions in the interview guides. According to Borg and Gall (1996), open-ended questions have the advantage that they offer participants a wider scope of flexibility. Macmillan and Schumacher (1993) assert that, open-ended questions allow the researcher to follow up on any revealing leads, which would be given by the interviewee. In the same perspective, Mavhunga (1998) posits that, further probing may help clear misunderstandings that may arise, and also, in testing the limits of the respondents' knowledge of the subject under discussion. Finally, as Borg and Gall (1996) point out, open-ended items allow the researcher to learn first hand about the social world. For example, in the Chiwodza case open-ended question allowed the researcher to learn first hand about the nature of the learning environment. It is on the basis of the strength of the above observations that open-ended items were included in the interview guides.

Document analysis

Borg and Gall (1996) define document analysis as a researcher technique for objective and systematic study of documents and records. In the Chiwodza case documents such as staff meetings minutes, inventories, class registers, plan and scheme books, lesson observation reports and pupils' exercise books were analyzed. Macmillan and Schumacher (1993) support the use of document analysis asserting that documents are useful for correlating or augmenting evidence from other sources like interviews or questionnaires. Therefore, the above listed documents were interrogated since they were likely to provide useful information about the availability of educational resources and the quality of supervision and management of the teaching-learning situation. This is in line with Hawes and Coombe's (1986) proposition that availability of educational resources and the supervision of the curriculum implementation process are important indicators of the quality of education. A checklist was prepared to guide data collection through document analysis.

Observation

In addition to the above instruments of data collection, this study also employed the observation method. According to Borg and Gal (1996) the advantage of observation methods is that, if used accurately, it avoids the inaccuracy and bias of self-report data of the interview. Robison (1993) opines that, the observational technique might be used to validate or corroborate data obtained from interviews. Robson (1993) further postulates that, the observation method is pre- eminently the most appropriate technique for getting 'real life' in the 'real world'.

In the same purview, Sechrest in Borg and Gall (1996) contents that, social attitudes like prejudice are best studied thru observation in the natural real life situation. Therefore, observational methods can yield more accurate results. For the purpose of the study, the rese4acher used as checklist and observation guides focusing on availability of instructional inputs and lesson observations to determine the quality of the teaching learning process at Chiwodza School.

Data presentation, analysis and discussion

Data presented, analyzed and discussed in this section was collected to answer four research questions outlined earlier in this study. Therefore, data collected through interviews, observation and document analysis was dealt with question by question.

The first research question sought to determine and examine the nature of the learning environment in terms of infrastructure at Chiwodza School and its effects on educational

quality. To answer this question, data was gathered through interviews with the Headmaster and observation of the nature of the infrastructure at Chiwodza School. Interviews with the Headmaster and the observation method revealed that:-

There was not Staffroom and this affected the smooth implementation of the curriculum because the staffroom is an important place where teachers plan their work, mark pupils' books, discuss their professional issues and the discipline of students.

The Headmaster' Office was also too small and overcrowded.

There were only two pit latrines which were almost full. This posed a health hazard to both teachers and students.

The makeshift class rooms were too small and poorly ventilated.

The above scenario points a negative picture on the quality of education at Chiwodza School.

The second research question sought to find out the level of teachers' academic and professional qualifications and how they affected the quality of education at Chiwodza School.   Data pertaining to teachers' qualifications and experience was obtained through interviews and this was triangulated by analysis of official documents such as teachers' files. All the six teachers at Chiwodza were found to be properly qualified to implement the Curriculum at Primary School level. They all had passed Ordinary Level and possessed a Diploma in Education. Thus, all the teachers were suitably qualified to implement the Curriculum. Further, the Headmaster was also suitably qualified to effectively supervise the Curriculum implementation process.

The third research question sought to determine the availability and adequacy of resources like instructional materials such as textbook, chalkboards, chalks, exercise books and syllabuses.   Data answering this question was collected through a document analysis checklist. This data was triangulated with data obtained through interviews and observation. The researcher found out that, there were only 25 benches and 17 pupils' desks reserved for Grades 4 to 7. Grades 1 to 3 squatted on the floor. The critical shortage of furniture, coupled with the overcrowding in the small classrooms made the management of the learning-teaching environment a nightmare and this had a negative bearing on the quality of education at Chiwodza School.

The fourth and final research question sought to examine the nature of the supervision of the learning environment and its impact on the quality of education at all. Data answering this question was gathered through an interview with the School Head, and further triangulated with the data obtained through observation and document analysis. The Head possessed an Ordinary Level Academic Certificate and a Certificate in Education with fourteen years experience. His qualifications met the minimum requirements needed to ensure quality education at a primary school. Further, he was fairly experienced to know the teaching and learning terrain well. Studies by Fuller (1986) show that the Headmaster's academic and professional qualifications determine his effectiveness as a Supervisor of the teaching-learning environment. However, the critical shortage of the teaching-learning resources made supervision of curriculum implementation difficult, thus threatening the quality of education at Chiwodza School.

Conclusion

On the whole, the findings proved that educational quality at Chiwodza was poor. The quality of teaching and learning was negatively affected by numerous problems as highlighted above. Although qualified and relatively experienced teachers and Headmaster staffed the school, their effectiveness was thwarted by the critical shortage of educational resources. Though the findings were based on a single case study, they were looped to be a mirror reflecting the situation in other primary schools in newly resettled farms.

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FUNDAMENTAL CONCEPTS OF BYZANTINE PERATOLOGY FROM THE PERSPECTIVE OF THE POLITICAL SCIENCE

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Abstract

The space exterior to the mobile border of Byzantium was defined beyond any ambiguity, both from the perspective of the immediate politics of the Empire and from the symbolic perspective.

Approached from the perspective of the ontological realism, the border separates a rigorously circumscribed space from the exterior world that is simply-present. In case of the Byzantine peratological system, the exterior world has meant a group of ethnois drawn to the Byzantine sphere of influence by missionary actions or pure political acts – in case of peoples with universalistic religious orientation: Persian, Arabian, Tatar-Mongolian. The mere ethnic, social and politic demarcation, and the management of the space in ethic terms was not enough in the byzantine history. Since the 4th Century the space management has gained an apodemic character. The border (peras) was not just a simple way of expressing the property feeling, yet a reference to the external space, the location where the adventure of defining the political and religious Ego in relation with the world (oikoumene) took place. Any foreign space (hyperoria) was approached by the Byzantine political theology from ecumenical perspective.

The Byzantine peratological metaphysics has combined the constant overpassing of the own political limits with the spiritual epektasis, mandatory from the religious perspective. The Byzantine apodemic instinct (of crossing of the own geographical limits) has had as Christian analogon the crossing of the own spiritual limits, the evasion in ontological and cosmologic areas.

The Byzantine political thinking was dominated by the need of an aperigraphic space, being permanently defined and meant- by vocation of the in perpetuum missionary activity - to communicate with the spaces that were non-congruent from political or religious perspective. In the morphology of the Byzantine and post-Byzantine culture, the border had a double role: to define the visible territorial limit, beyond which existed a foreign political and cultural space (hyperoria), and to define the margin, the extremity (peras), excluding the synonymy with the radical eshatos. Peras has represented the limit that can be crossed, with consequences for the consciousness. In the Byzantine reference system, the border has defined a "unique, different in itself" space. This synthetic unity was inherited by the modern and contemporaneous culture, from the perspective of which the border configures spaces without artificially segmenting them.

Keywords: oikoumene, hyperoria, peras, limes, horos, metaichmian

Introduction

The valences given to the spaces within the Byzantine political and religious sphere of influence were set by the collective memory, due to which certain areas and ethnic configurations had an important role in the byzantine political thinking (Slavs, Bulgarians,

Khazars). The apodemic Byzantine border was the expression of the ration between the need of expressing the Christian message (parresia), the political message, and the historical positioning of the geographic area of political and cultural dialogue. The apodemical Byzantine border was a way of access.

The Byzantine Empire has redefined the limit in metaphysical terms, by the concept of progressive contemporaneity with Jesus Christ. From this perspective, the only correct reference systems were the Embodiment and Parousia. The concept of territoriality in its antique meaning has lost its value in favor of the ecumenism, of limits extension through Christianization, until the terrestrial citadel was confounded with God's Citadel (Augustinian doctrine). The byzantine peratological mysticism has marked the passing from apodemia to xeniteea – the need of alienation until transcending the anthropic borders.

The Greek Apodemia, in its platonic[95] meaning, of space management in terms of territory and ethics has evolved in the byzantine political thinking to the aperigraphic space, continuously being defined in relation with the politically and culturally non- congruent spaces. The byzantine Apodemia was the result of the junction between the Christian message- parresia[96], and the political message. The byzantine Apodemia designates the possibility of accessing new spaces.

The platonic old Greek verb apodemein with strict political sonority was adopted to the Christian religious context. In the Gospel of Matthew, 21:33[97] the verb apodemein depicts the transgression to a far, foreign space: apedemesen eis choran makran (a space expecting its religious and political identity[98]).

The stage of defining the concept of territoriality in the context of the relation between the Church and the State was marked by the term parepidemia, with the meaning of transcending the political borders and redefining them in terms of metaphysics[99], and with the meaning of neglecting the political borders and of asserting the religious borders. In Hebrews 11:14 and the following after, the search for the celestial homeland cancels the value of the borders of the Humane Citadel.   The phrase patrida epizetousin, the search for the homeland has an eschatological meaning. In Phaidon 67 bc, the semantics of the border transition is dominated by the verb poreuomai, to travel in a hostile space, and the noun used to designate this transition status is apodemia[100].

The verb exebeo, from the previously mentioned paragraph in the New Testament signifies the renunciation to the humane homeland, and legitimates the doctrine of the alienation[101].

The byzantine parepidemia marks the continuous process of passing[102] from a territory to another, with strict missionary purpose until the 4th Century, and after the 4th Century also with political purpose, as the Christianism was transformed into a diplomatic instrument[103].

The political philosophy of the limit of the Byzantine Empire also implies the approach of the concepts of limes, peras- limit[104], border, spatial identity[105]. The phrase ta

[95] Platon, *Phaidros,* trad. Gabriel Liiceanu, Humanitas Publishing House, Bucharest, 1993, 230 c ; idem, *Phaidon,* trad. Petru Creţia, Humanitas Publishing House, Bucharest, 1994, p. 40, n. 44; Gabriel Liiceanu, *Încercare în politropia omului şi a culturii,* Cartea Românească Publishing House, Bucharest, 1981, p. 153; idem, *Despre limită,* Humanitas Publishing House, Bucharest, 2007, p. 169-196.

[96] Mark, 8:32; John 16:25; 2Corinteni 3:12 etc.

[97] also see Mark 12:1, Luke 20:9.

[98] *The Greek New Testament*, Stuttgart, 1994; Alfred Schmoller, *Handkonkordanz zum griechischen Neuen Testament*, Stuttgart, 1989, p. 53.

[99] Hebrews:13.

[100] Platon, *Phaidon,* n. 82, p. 176.

[101] Michel de Certeau, *Fabula mistică,* Humanitas Publishing House, Bucharest, p. 42-43 ; 1 Corinteni, 3 :18, 2 Corinteni, 4 :18 ; Nae Ionescu, *Curs de metafuzică,* Humanitas Publishing House, Bucharest, 1995, p. 170-171.

[102] 1 Peter 1:1.

[103] A. Ducellier, *Bizantinii,* Teora Publishing House, Bucharest, 1997, p. 74-100.

perata ges, from Matthew 12:42 has served the ecumenical Byzantine vocation in both its religious and political meaning. It defines its meaning in the historical context of the Byzantine imperialism during the times of the Heraklidans and Macedonians. The term peras is synonymous in a strict meaning with horos. In the byzantine political system of reference, the border has defined a space of the synthetic unity[106] which has influenced the contemporary European political matrix from the perspective of which the border configures spaces without artificially segmenting them.

The old Greek concept of hyperoria[107], as "totality of the geographical space beyond the frontier"[108] may designate, in the Byzantine political system of reference, the Barbarian political and cultural stromatism, placed beyond the influence areas of the Empire. In the Byzantine Empire, the border is not addressed from the perspective of a political monotheism. The fundamental purpose of the Byzantine political theology was to overlap the political limes and the Christian horos on the edges of the known world. Yet the proodic impulse was not constantly expressed, as the Christian doctrine of the perpetuum missionary activity supposes, but periodically, according to the political reality. In 626, during the Avar attack, the political border was represented by the walls of the capital themselves, and the spiritual border was marked by the uplift of the Hodighitria Virgin icon on the wall.

The extrovert, apodemic character of the Byzantine political matrix could be an effect of:

a) the political thinking through the mimesis – the universalist-Roman nostalgia during the 4th to the 7th Century;

b) the "lack of civism"[109] of the Christian religion which figured the paradigm of the foreign man, traveler on the Earth. Yet, the lack of civism theory is not generally valid throughout the Empire. Also motivated by the abovementioned phrase in the New Testament, the theory of the lack of civism may be applied to the period of the primary Christianism (sec. I-IV) and to the monachal sphere of expressing religiousness[110].

In the Byzantine Empire, the Church does not release the profane space[111] and it assimilates in strict conformity with the laic legislation[112]. The Law of Zenon from year 480 has reinstituted the civic character of Christianism, the term defining the process of political and religious territory management being perioikis[113]. The law has conditioned the urban statute of a settlement of polis type, by the presence of an episcopal chair with a well delimited territory[114].

The old Latin term of fines, termini, frequently attested epigraphically[115], were replaced by the new   Greek term of perioikis. The fact that differs from the classic period of optional intra-community religiousness is the trans-community optimistic character of the

[104] Matthew 12 :42.

[105] Aristoteles, *Metafizica,* 1022 a) 4-6.

[106] Constantin Noica, *Modelul cultural european,* Humanitas Publishing House, Bucharest, 1993, p. 147-153.

[107] Platon, *Phaidros,* 230 c-d .

[108] Gabriel Liiceanu, *op. cit.,* p. 153.

[109] Pierre Manent, *O filosofie politică pentru cetăţean,* Humanitas Publishing House, Bucharest, 2003, p. 43.

[110] A. Guillaumont, *Originile vieţii monahale. Pentru o fenomenologie a monahismului,* Anastasia Publishing House, Bucharest, 1998, p. 121-122.

[111] Pierre Manent, *op. cit.,* p. 45.

[112] J. Ortolan, *Explication historique des institutes de l'Empereur Justinien,* II, Paris, 1876, p. 245-272.

[113] *Corpus Iuris Civilis,Codex Iustinianus*, I, 3, 35-36, *apud* Fontes Historiae Daco-Romanae, II, Academia Română Publishing House, Bucharest, 1962, p. 372-373.

[114] Adriana-Claudia Cîteia, *Instituţii eclesiastice pe litoralul vest-pontic, în lumina izvoarelor arheologice, literare şi epigrafice în secolele IV-VII,* Muntenia Publishing House, Constanţa, 2006, p. 308-309, with the bibliography on the issue.

[115] O. Cuntz, *Itineraria Romana, I, Itineraria Antonini Augusti et Burdigalense,* Leipzig, 1929, p. 32.

Christianism[116] that became mandatory from dogmatic point of view, and which was also borrowed by the political thinking. The term perioikis defines the ecumenical character of the Church, by the suffragan relations between the local communities and the New Rome.

The peratology as an act of political ontology may define the vicinities of cultural and political type of the Byzantine Empire. The byzantine political ideology[117] addresses the notion of vicinity from two distinct points of view:

a) direct relation – that can be constantly followed up throughout the entire political history of Byzantium, from the contact with Germanic peoples, to the tacit acceptance of the first sclavinie, of the Bulgarian tsar administrations or of the vicinities with the Islam;

b) the i-presence relation[118], in which the other is perceived by indirect contact - for example, the case of the Danubian regions in the 7th to the 10th Century[119]. This type of i-presentation has allowed to the provinces with political reflux to evolve in an original manner, and to create a political identity in which the Byzantine influence exists, yet is not predominant.

The i-presence, in its meaning of awareness of the political presence of the other[120] - without the possibility of intervening, or following a failed political approach – explains the attitude of the Byzantine Empire to Crimeea, the demarcation of a limes Tauricus corresponding to the fortified line erected by the Romans against the Scits, and that finally separated the orthodox Crimean Goths from the Arian troops[121].

The concept of i-presence has involved in the Byzantine political system the acceptance of inconvenient vicinities (for example the Slavs) and has lead to the effort of legitimating the border that started in the 8th Century. The Byzantine political noesa[122] has addressed the reality of the i-presence, of the imposed vicinity, with the instruments offered by the Christianism, transforming the territories politically inconvenient in territories virtually adhering to the Empire, by Christianization. The doctrine of the perpetuum missionary activity has served the byzantine apodemic interests.

"The experience of the otherness as i-presentation"[123] implies approaching territories beyond the byzantine horos by mimesis (according to a political tradition already figured, an eloquent example being the Goths in front of which the Empire has maintained the political attitude no matter the circumstances) or by analogy, in case of some new political contacts (Arabs). Generally, the approach by analogy has lead to political cohabitation[124]. This type of approach has also involved the religious attitude. Oikoumene as Byzantine virtual territory has had fundamental Christian component. Political systems different by the essence from the

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[116] Bruno Zani, Augusto Palmonari, (coordinators), *Manual de Psihologia comunităţii,* Polirom Publishing House, Iaşi, 2003, p. 131-163.

[117] H. Ahrweiller, *Ideologia politică a Imperiului Bizantin,* Corint Publishing House, Bucharest, 2002, p. 24-45.

[118] Edmunt Husserl, *Meditaţii carteziene,* Humanitas Publishing House, Bucharest, 1994, p. 144-147.

[119] Ion Barnea, Ştefan Ştefănescu, *Din Istoria Dobrogei, III. Bizantini, romani şi bulgari la Dunărea de Jos,* Academia Română Publishing House, Bucharest, 1971, p. 7-23.

[120] E. Husserl, *op. cit.,* p.145.

[121] Dimitri Obolensky, *Un commonwealth medieval : Bizanţul,* Corint Publishing House, Bucharest, 2002, p. 56-84 .

[122] Edmunt Husserl, *Meditaţii carteziene,* Humanitas Publishing House, Bucharest, 1994, p. 12.

[123] *Ibidem,* p. 144.

[124] For example, the Turk Emire named Tzachas was helped out in building the fleet with which he has deserted the Aegean shore and has threatened Constantinopolis and the Byzantine population around Smirna. Also, the Byzantines from Frigia have refused to get out of the Turks authority during the basileum named Ioan the Comnen, since they have adopted already the way of life of the Turks; cf. H. Ahrweiller,*Ideologia politică a Imperiului Bizantin,* Corint Publishing House, Bucharest, 2002, p. 64.

Byzantine one have finally got to gravitating around it[125]. The complex of political superiority was yet tempered by the moral-Christian values: humbleness, amerimnia, xeniteea, etc[126].

The phenomenological analysis of the concepts of limit, vicinity, presence, i-presence is not possible without an approach from the reference system, opposed to the Byzantine one, to the ethnois (Barbarians, non-Christians) that came in contact with Byzantium. The Slavs and Bulgarians, for example, have tried to position themselves and to circumscribe to the Byzantine political space. They have become part of the Byzantine political life, with the tacit agreement of the Empire, until the times of the Macedonian dynasty[127]. The effectiveness of their presence echoed until the Tatar-Mongolian attack (1240) when the tsar administration of Ioan Asan the 2nd has ceased to exist[128]. The preaching of the effectiveness of the political presence has brought to the concepts of peras, horos, apodemia[129], both the perception from the perspective of the Empire and the Barbarian one[130].

The territorial perimetering as fundament of a political and religious intentionality lead to the formulation of an ustensilic[131] context in the Byzantine political ideology: the purpose of the relations with the Barbarians consisted in the civilization – by Christianization – and in the materialization of the Byzantine apodemic impulse, by border extension. This ustensilic context has ensured the apodemia of the borders in 9th to the 11th Century (876-1056)[132]. The extension of the Byzantine frontiers from Euphrates, Caucasians, up to Italy, from the Danube until Palestine[133] has deteriorated the relation with the Bulgarians and has rebuilt the relation with the populations from the maritime territories of Greek-Oriental tradition. The border policy has evolved in the Byzantine Empire from the wish of imitatio imperii in Justinian times, to the universalism of Macedonian dynasty. The process may also be noticed at anthroponimical level: from the trianomina of Roman tradition, the indication regarding the place of birth of the persons (natale solum)[134] has disappeared.   The ethnic origin has lost its importance in favor of a patria communis – Byzantine Empire. Mentioning the province of provenience in an anthroponyme has gradually become (from Constantine the Great to Justinian) the expression of an irrelevant ethnic, political and cultural particularism[135]. The new solidarities in the old imperial provinces were determined by the Christian citizenship[136]. The foreign Christian, traveller on the Earth, did not need any more the old benchmarks of the territoriality. The Byzantine political theology that has appeared after Eusebius from Caesareea[137] has associated the Empire with the inheritance of God. In this context, the main subject of the dialogue between the State and Church became not the origin of the person, but his destination, the Christian telos.

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[125] In the imaginary family of the sovereigns, the Germanic prince was called brother, the Bulgarian tsar - son, and the parents less important - friends; *Ibidem,* p. 45.

[126] A. Guillaumont, *op. cit., passim.*

[127] D. Obolensky, *op. cit.,* p. 61-63.

[128] *Ibidem,* p. 266.

[129] The transgression from the concept of geographic frontier to the virtual frontier took place with no difficulty in the context of the Byzantine political theology.

[130] Martin Heidegger, *Probleme fundamentale ale fenomenologiei,* Humanitas Publishing House, Bucharest, 2006, p. 88-90.

[131] *Ibidem,* p. 268-273.

[132] H. Ahrweiller, *op. cit.,* p. 36-56.

[133] *Ibidem,* p. 39

[134] Fr. De Martino, *Storia de la costituzione romana,* V, Napoli, 1975, p. 470-496.

[135] *Ibidem,* p. 538-540.

[136] *Ibidem*, p. 530-558.

[137] Jaroslav Pelikan, *Tradiţia creştină. O istorie a dezvoltării doctrinei,* I, *Naşterea tradiţiei universale (100-600),* trad. Silvia Palade, Polirom Publishing House, Iaşi, 2004, p. 31.

Starting with the 13th Century, under the impact of the crusade and of the direct relation with Muslim world[138], the territorial identity was marked by the adverbial relation enthauta (Byzantine Empire)- ekeinon (beyond). In the Memoires of Georgios Sphrantzes[139], the phrase perao ekeinon designates the crossing to the hostile lands (from inverse perspective, Ottoman, the term is dar ul harb[140]), phrase also present in the earlier chronicles of Macarie Melissenos[141]. Ducas[142] uses for "foreign lands" the adverb ta allotria.

So, the relation enthauta- ekeinon- allotria refers to the sum of distinctive elements in the two religious spaces: Christian space and Muslim space, and it marks the existence of some topoi in which the dialogue can exist only at political level.

The apodemia of the border between the Christians and Muslims, between the dar ul Islam and dar ul keferî is the result of some political constructions and also of the religious identity.

The junction between the Byzantine horos and the Muslim concepts of uç (frontier) and ilhak (annexation, extension), fundamental in asserting the Muslim claim of universality has had dramatic consequences for the Byzantine Empire[143].

According to the Ottoman law of the peoples, the place of the Byzantine Empire resides in the dar ul Islam[144], the purpose of the Sultan's institution being "to extend the people of the prophet and to restrict the one of the Byzantines"[145]. In view of annexing the Byzantine territories to the House of Islam, Ducas uses at aorist, the verb synapto (to unify)[146]. In the House of Islam, the political identity of Byzantium was cancelled. The only concession was the integration in the category of literators (recognition of the cultural identity) - ahl al kitâb, next to the Hebrews and Zoroastrians[147].

Diastema is, in the political plan, a space of accommodation with "the other", and in religious plan is the interval needed for the accommodation to the ultimate reality. The concept is applicable both vertically, as a parenthesis between the Creator and creation, and as an explicative continuum between the laic and liturgical time.

Eshatos, concept for neo-testamentary origin[148] has an adverbial meaning, of absolute novelty, continuous novelty, and a noun meaning as ultimum, extremum, ultimate reality – ta eschata□□ margin of the Earth in Christian kerigma[149]□□ preontical limit, in the thesis on the con-genesis of God with the world[150], ktisiological mark, previous to the Genesis, pretemporal mark[151]□

From the typology of the metaphysical frontier have been chosen the terms akron, chasma, horos, yesod, peras- perasis, methorion, phragmos.

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[138] Emanoil Băbuş, *Bizanţul între Occidentul creştin şi Orientul islamic (secolele VII-XV),* Sofia Publishing House, Bucharest, 2006, p. 116-132.

[139] Georgios Sphrantzes, *Memorii. 1401-1477,* ed. Vasile Grecu, Academia Română Publishing House, Bucharest, 1966, VII, 2, 22; VII, 3, 9, p. 8-10.

[140] Viorel Panaite, *Pace, război şi comerţ în islam. Ţările române şi dreptul otoman al popoarelor(secolele XV-XVII),* All Publishing House, Bucharest, 1997, p. 72.

[141]Macarie Melissenos, *Cronica, 1258-1481,* I, 5, 20, *apud* G. Sphrantzes, *op. cit.,* p. 21.

[142] Ducas, *Istoria turco-bizantină (1341-1462),* ed. Vasile Grecu, Academia Română Publishing House, Bucharest, 1958, XV, 4, 28.

[143] V. Panaite, *op. cit*., p. 85-96.

[144] *Ibidem,* p. 102.

[145] Ducas, *Istoria,* XXIV, 5, p. 186-188.

[146] A. Bailly, *Abrégé du dictionnaire grec-français*, Paris, 1928, p. 828.

[147] V. Panaite, op. cit., p. 106-107.

[148] Alfred Schmoller, *op. cit.,* p. 198. Sfârşitul timpului uman şi instituirea veşniciei- *Fapte* 2,17, Ioan 6,39-48; 7,37; Hb 1,2; 5,3.

[149] *Facts* 1,8.

[150] 1Pe 1, 20.

[151] *Ibidem.*

Akron is the limit which the human sense can not cross, the expression of the absolute apophatism[152]. Akron is the unit of measure of the metaphysic topology. The phrase term   ☐excludes th

thinking; "width, length, height and depth of the spiritual world"[153] which define the Christian pleroma are reduced to a unique measure unit - akron with the meaning of origin and border line.

Chasma is the term used to designate the limit between the Inferno and Paradise[154]☐

Horos - Sthauros defines, in the gnostic vocabulary, the limit between pleroma and kenoma, between up and down, between knowledge and lack of knowledge.

Perasis means passing, crossing, transforming[155]. The term was used in the classic gnosis to indicate the up-lifting and descending of the soul through the planetary spheres, and the crossing of the frontiers between the seven skies[156].

Methorion is a concept borrowed from the Basilidian gnostic thinking[157] which expresses the idea of alienation, of belonging to two non-complementary realities (into the world and outside it, within time and beyond it). In Gnosticism, like in Byzantine Christianism, methorion is the attribute of a parepidemical existence which transcends the limits yet it remains limited as substance, time and destiny[158].

Syaga, phragmos[159] is the limit guarded by cherubim and which separates two orders of reality and two ontological levels; the border between the sacred space of the paradise and the profane space of the oikoumene.

From the multitude of the terms that have contributed to defining the dogmatic peratology we have analyzed the significations of the perichoresis, the ktisiological limits-arche kai telos, and the verbs metairein and metabainein which define the unstable character of the spatial and temporal limit.

The verb metairein[160]☐indicates the transgression, the crossing from a topos to another, it depicts the indefinite, unstable character of the limit (peras, horos). The verb suggests the metamorphoses of a mind created space, symbolically retouched, and own to the identitary geographies. In this context, the limit has the role of ensuring the junction between the past and the present.

The verb metairein suggests the overcoming of the difficulties of setting a hierarchy among the ontological stages in between the terrestrial citadel and the citadel of God, without entering into contradiction with the dynamic verticality of the divine space.

Unlike the verb metairein, the verb metabainein[161] indicates the drastic transfer from a topos to another, from an ontological status to another.

In the "military imagination", the need to mark the borders by roads was depicted in the Late Empire by terms of praetensio, praetentura, and the measure units for the extension of the imperial powers were the militaries[162].

In De Administrando Imperio[163] the Basileia replaces the older term eschatia that defined the margin, the limit, the border, with the terms synoros (delimitation), akra

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[152] Matthew 24, 31;Mark 13, 27.
[153] Ephesians III, 18.
[154] Luke 16, 26.
[155] A. Bailly, *op. cit.*, p. 682.
[156] I.P. Culianu, *Psihanodia*, Nemira Publishing House, Bucharest, 1998, p. 99-113.
[157] Jean Danielou, *Biserica primară de la origini până în secolul al III-lea*, Herald Publishing House, Bucharest, 2008, p. 83-85.
[158] Henri- Charles Puech, *Despre gnoză şi gnosticism*, Herald Publishing House, Bucharest, 2008, p. 244.
[159] Matthew 21, 33; Mark 12,1; Luke 14,23; Ephesians 2, 14 .
[160] Matthew 13, 53; 19,1.
[161] Matthew 8, 28.
[162] C.R. Whittaker, *Rome and its Frontiers: the Dynamics of Empire*, Routledge, Taylor and Francis Group, London and New York, 2004, p. 80.

(extremity), horos, horion, horismos (border, limit)[164]. In the 12th century, Ana Comnena has used the same terms to define the borders set by the peace treaties[165].

In the poems of Manganeius Prodromus[166] written around 1156, after the Byzantine-Magyar conflicts [167] the peratological vocabulary defines the horos between the Roman world and the non-Roman one, localized at the Danube. The effluvium is named horon ("water frontier"), metaichmian (no one's land), horizon ton horizonta (ultimate limit), horotheton (the border between the Byzantine oikos and the hostile world beyond the frontier, called hyperoria by the poet).

In the medieval literature, to define the limits of the geographical area meant to define an identity. The limit approach becomes the means of exteriorization of the political and religious imagination. The limits of the geographical area are adapted to the demands of the dogma. In the Christian Topography, Cosmas Indicopleustes, states that the universe has the shape of a shrine: the inner part of the shrine is assimilated to the oikoumena, and the lid is God's Sky[168].

În the teological approach of limits, the world is represented as a body of Christ. On the Map from Ebstorf is obvious the allegorical parallelism between God's body and the world shape[169]:   The upper part of the map, which indicates the world Paradise is superposed by Christ face, according to the acheiropoietos pattern; on the North and South there are His hands, and His legs to the West; the world centre coincides with the Resurrection grave[170].

The institutional structure of the Byzantine Empire had a determinant role in the contruction of the literary style: an emperor absolute ruler, a Church in a continuous fight to defend the right faith, the inexistence of the political liberties are reasons for which the Byzantine intellectuals found their refuge in a literature dominated either by the hypotipose of the past or eschatological hopes.

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[163] *De Administrando Imperio*, ed. G. Moravesik, Washington DC, 1967.
[164] *De Administrando*, 140, 144, 154, 212, 214.
[165] *Alexiada* I, 138; II, 43.
[166] Poems of type *enkomion* 2, 7, 15, *apud* Paul Stephenson, *Byzantium's Balkan Frontier, a political study of the Northern Balkans,* Cambridge University Press, 2002, p. 234-235.
[167] 1150-1155, *Ibidem*, chapter VII.
[168] Corin Braga, *De la arhetip la anarhetip*, Polirom Publishing House, Iaşi, 2006, p. 17.
[169] *Ibidem*, p. 54.
[170] *Ibidem*, pl. 10.

BATTERED, BUT UNBROKEN: EPISTEMOLOGICAL AND THEORETICAL CHALLENGES TO WESTERN IR THEORY (REALISM AND WORLD SYSTEMS THEORY)

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Abstract

Recent developments in the field of International Relations have called into question the nature of the dominant theories used therein. IR has been painted as suffering from an inherent Western bias. This paper does not dispute this fact, but argues that IR scholars must now move forward by acknowledging this bias. Western IR theories can maintain utility, but it must be in a context of knowing the limits associated with their origins.

Keywords: International Relations, Realism, World Systems, Bias, Objectivity, Utility

Introduction

Is objectivity attainable? Can a researcher step outside the confines of his or her personal experiences and culture and look upon the subject matter as an impartial observer? While we may all flatter ourselves so capable, so free of internal bias and prejudice ingrained, it is not assuredly so. Indeed, there rages a debate right now in the field of international relations that could very well mark the changing of an epoch, and it would be folly to go further in one's work without reflecting upon such ideas.

There are a plethora of 'myths' that have long made up the basis of international relations as a discipline (C. Weber, 2009). We have long relied upon these as the foundation for study of the international system; indeed the idea of an international system is one of these myths. Realism, Idealism, the 'great debates' of IR history, all of these are the myths upon which the discipline has been constructed.

This is not to say that these myths are untrue. Nor does it mean that there have never been critiques of the traditional approaches. As Smith (2005) has shown us, everything, from the very nature of science and empiricism itself, has been brought into question over time. It is just that today, these myths are being challenged from a variety of angles, and their claims to universality are thus being undermined.

In this article, the theories applied are that of Realism and World Systems Theory. These were chosen as representative of the IR discipline, as these are normally seen as divergent theories; world systems theory arriving as a critical response to older IR perceptions of the world order. Thus, first we will explain these, providing the basis for later analysis. From there, though, these two supposed opposing views will be subjected to the new critical eye, as defined by Hobson (2012). Here, along with Max Weber's (2005) look at objectivity, we will see if it is fitting to use these Western theories as a means to describe a diverse world.

The Theories
Realism

Dougherty (1997, 58) has given us a breakdown of the central tenets of Realist thought that are useful in gaining a grasp on the theory as it is to be used in this paper. Dougherty has broken these down into six separate assumptions upon which the basis of this paradigm was formed.

The first of these statements is pivotal in the understanding of Realist theory. It is that the international system is made up of nation-states as the primary actors. It is through this view that the entire perspective of Realist thought is based – that which concerns itself most with the nation state.

This leads to the second tenet, which, combined with the first, sets up the anarchical world that Realists present. This tenet is that international systems are inherently conflictual. According to Dougherty, Realists see international politics as a struggle for power in which states are bound to rely upon their own capabilities in order to survive the anarchical competition.

The third premise is then more legal in nature, but with a pragmatic twist. It states that states are always in a condition of legal sovereignty – but not without constraint. The catch is that there are "nevertheless gradations of capabilities" (p.58). This means that, while a state is indeed sovereign in its decision-making capability, there exist constraints on its freedom to act. A particular state's status as greater or lesser will thus determine the parameters within which it will have freedom to act.

Leading then to the fourth premise, we move to the realm of internal politics. This premise postulates that states are unitary actors. We have moved to the domestic realm only to say that it does not matter outside – it is thus suggested that, on the international level, domestic politics can be separated from foreign policy decisions.

The fifth premise is essential to understanding the mindset of these actors in the Realist perspective. In order to predict behaviour of states as actors in a Realist view, one needs to view them as not only unitary, but rational actors. States are thus expected to behave in a manner that would maximize the benefits to their national interest.

The idea of national interest is that with which the sixth and final supposition is concerned. National interest, from a Realist point of view, is in obtaining and preserving power. Power is the central focus, and one should expect all states to pursue it accordingly.

Consequently, the operation of the international system in Realist expectation is, if not predictable, at least comprehendible. States, as the primary and sovereign actors, will make rational choices --within the constraints that they are held – that will enable them to maximize the power they can attain.

World Systems Theory

In contrast to the state centric view of Realism, the other theoretical approach to be used in this paper is less confined by boundaries of a geographical nature. The divisions in the other world-view to be used are more economic and, to a degree, cultural. World Systems analysis goes beyond the view of a state as a dominant, unitary, and rational actor (Wallerstein, 1987). The structure of the system is instead divided into core, semi-periphery, and periphery actors, which do not necessarily correspond with state boundaries.

The core, as defined by Wallerstein (1974) and Kuznar (1999), are areas in which elites control most wealth, technological, and military resources with which to dominate the system. While Wallerstein concentrates on food in his example, others have included more "sumptuous preciosities" to augment this work, such as Kardulias (1990).

In order to sustain this position, the core areas use the discounted resources and labour of the periphery (Wallerstein, 1974). These areas/actors, often are removed from the dominant core culture in the form of language, traditions, and development history. This is a function of "the social organizations of work, one which magnifies and legitimizes the ability of some groups within the system to exploit others." (Wallerstein 1974:349).

In order to bridge this divide, actors within the sphere of the semi-periphery are utilized (Wallerstein, 1974, Kuznar, 1999). These play the role of intermediary, and often feature a mix of the means and capabilities of the core states, such as educational

opportunities and core-style institutions, while retaining peripheral characteristics in cultural and labour-division aspects to relegate them to their non-core status.

These do not necessarily have to be divided along national boundaries. In China, for example, Shanghai billionaire financiers share a national boundary with peasant rural farmers, many of whom are among the 21 million Chinese who live below the official "absolute poverty' line of $90 US Dollars per year (Moyo, 2011).

Criticism

Now that we have explored the two theories themselves, we move on to Hobson's critiques of the Western underpinnings of all such IR theory. He lays down "Six Eurocentric myths of IR: the moral purpose of IR as defender and promoter of Western civilization" (Hobson, p.14). Here we will list these, and apply them to the theories presented above, so as to see if they can withstand the scrutiny of a post-Western worldview.

The' noble identity / foundationist myth' of the discipline

Hobson asserts that IR has always had a delusion that it was born in the bloody aftermath of 1919 in the fields of Europe. It was thus thought to be imbued with the noble purpose of avoiding such bloodshed in the future, born pure of heart. Hobson argues that this veils the truth, that since at least 1760 international theory has been Eurocentric and worked to defend and celebrate the West.

The 'positivist myth' of international theory

This is the myth that IR theory has a foundational 'value-free epistemological base' (Hobson, 17). Hobson states that this is undermined by Cox's "well known critical theory mantra, that 'IR is (almost) always for the West and for the Western interest'." He quotes Keohane referring to the idea of humanitarian intervention being necessary because the 'politics of malign neglect' would "deny the backwards East the privilege of developing into an advanced Western form." (Ibid.,18)

The 'great debates myth' and reconceptualising the idea of the clash of IR theories

Here, Hobson says that the much celebrated 'great debates', such as realism versus idealism, or positivists versus post-positivists, are not actually particularly great. He states that these are all minor variations on the same underlying themes, and that, viewed from a non-Western lens, the differences are miniscule.

The 'sovereignty / anarchy' myth

Hobson here argues that the underlying basis for this myth, that all states possess sovereignty in an anarchic system, is a falsehood. He says that Western states have been granted an implied hyper-sovereignty. Eastern states, alternatively, have at best a conditional sovereignty, which can be withdrawn if "civilized conditions are not met". (Ibid., 19)

The 'globalization myth'

Here the myth presented is not that globalization does not exist, it is that it is a modern phenomenon. Hobson posits that it has been around since at least 1760, and that it could easily just be called Western opportunism in the mission to recreate the world in a Western image. This still rings true, says Hobson, for post-1989 liberal internationalists like 'end of history' Francis Fukuyama, who preach a similar form of Eurocentric paternalism.

The 'theoretical great traditions myth'

Here, Hobson speaks of the 'epic rendering' of the great traditions of IR theory. He posits that in presenting theories such as realism as continuous strains of pure intellectual thought that can be traced from Thucydides to Kissinger is another falsehood that glosses over large differences in the name of convenience and fitting the Eurocentric metanarrative.

So, how then do these stack up with our earlier-explained theories? These will be explored one-by-one.

Realism

When it comes to the 'noble traditions' myth, it is hard to argue that realism began in 1919. Indeed, what is the Treaty of Westphalia if not a realist document? What of the justifications of the creation of the British Empire, or the Dutch East India Company? It is clear that realist thoughts and justifications – the infamous 'white man's burden', have been around since before the First World War. (Ofuno, 2010)

When speaking of the 'positivist myth' in IR, realism seems to fall in this trap as well. Indeed, the imposition of the nation state as the de facto natural state of affairs should not be seen as anything other than a Western creation. One only needs to look at Ofuno's (Ibid.,p.161) description of "'the curse of the nation state', a European conception forcibly thrust onto non-Europeans without any regard for the fact that they might have their own more appropriate systems of organizing society" to see that such a basis is not universal in the least.

As it applies to realism, it is easy to agree with Hobson about a false dichotomy existing in the 'realism versus idealism' debate. It once again presupposes an international community of nation states in the Western model, with slight variances in their motivations and desired outcomes. If one reads Yongin and Buzan (2012), they present the Asian tributary system as existing outside of the Westphalian model entirely. They quote Zhou in explaining that the tributary system represents a "spontaneous order, an endogenous and self-reinforcing institutional arrangement of East Asia, which appeared and was reproduced as an outcome of continuous strategic interactions among actors within the region." (Ibid., 6) Clearly this is a system and means of explaining large-scale interaction that falls outside of these dichotomies.

The 'sovereignty / anarchy myth' is also applicable to realism as it has been presented. Once again we refer to Ofuno, who describes Europeans as having seen Africa a legally res nullis. (Ofuno, 163) This is hardly the way one would treat a true equal in a system of equally empowered and sovereign actors.

The idea of presenting globalization in realist terms as a new phenomenon also seems disingenuous. From gunboat diplomacy, to the afore-mentioned Dutch and British trade corporations, Western trade has been adjusting the 'rest' to fit its aims since the 1600s. (Ferguson, 2003, 11) Globalization is not a 20th century idea that has streamed from a natural evolution, it was systematically enforced and then justified by internationalist thought, as Hobson said.

Consequently, the 'great traditions myth' falls apart as well, when it comes to realist theory. As Hobson himself points out, how can imperialists such as Ferguson and anti-imperialists such as Huntington be part of a continuous intellectual lineage? It does not stand to reason, and largely the thing they have most in common is a Euro-centric worldview.

World \Systems Theory

The application of Hobson's critiques to world systems theory is more complex. As a critical theory itself, there are many elements upon which Wallerstein (and others) and Hobson would at first glance seem to have close to a congruence of opinion. Nonetheless, we will examine it against the six myths presented now.

When it comes to the 'noble identity / foundationist myth', world systems theory escapes and does not at the same time. As it is a critical theory that has disparaged the 'core' states that have engineered a system of exploitation, it is hard to argue that world systems theory sees much nobility in it. Nonetheless, as a study, it still gives almost all agency to the West, and therefore still suffers from the same trappings.

As for the 'positivist myth', here it seems that world systems theory is in stronger standing. Certainly it does not see as benign the effects of previous internationalist study and practice. Even Hobson allows for certain exceptions amongst the "post-colonial-inspired" (p.16). Still, the problem of focus and agency remains apparent in world systems theory.

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While it is critical of the West, it is still very much of the West, and thus may not fit into the 'post-colonial' column. Indeed, it reads very much as a critical description of the colonial system.

As for its place in the 'great debates myth', it does not emerge unscathed from this scrutiny either. As critical theory is in the loose lineage that represents the Marxist strain of thought, it still falls into the Eurocentric trap of assigning agency only to the West. This is not a perfect fit, however, as Hobson himself (p.333) points out that there are stark inconsistencies between the writings of Marx and Engels and that of Wallerstein, in that the latter is much more anti-imperialist.

It seems that in the 'sovereignty / anarchy myth', world systems theory performs best. While it can be state-based, and therefore fall under the criticism laid out by Ofuno (2010) earlier, this is not the sole incarnation of world systems theory. As described above in the theoretical description section, world systems theory does not necessarily mean that the core and periphery are always divided by national boundaries. When applied as such, it seems to largely avoid this particular pitfall.

There is a similar argument as it concerns the 'globalization myth'. World systems theory has clearly shown an interest in international economic cycles from before the modern era, going back at least 150 years (Wallerstein, 1988, 311). However, world systems theory may fall into the 'globalization as Western opportunism' construct, which Hobson classifies as 'socialist Eurocentrism' (p.20). Again, here the problem is that of agency, and seeing the Rest as entities to which things happen, not as equally functioning themselves.

As already examined above, the 'theoretical great traditions myth' applies to world systems theory. The idea that it is an intellectual descendent of the Marxist family of thought is rife with internal contradiction, especially on the idea of imperialism (Hobson, 333)

Conclusions
Objectivity, Bias, Utility

As the above analysis has demonstrated, there are definite holes in any claim as to the universal nature of the two IR theories presented, and indeed the others historically dominant in the field. What then, are we to take from this exercise? Is it that any research so formed is inherently biased past the point of utility?

The answer, thankfully, is not that explicit. As Max Weber (2005, 5) explains, "it is not that value-judgements are to be withdrawn from scientific discussion in general simply because in the last analysis they rest on certain ideals and are therefore 'subjective'." Researchers cannot simply throw up their hands and abstain from drawing conclusions just because of the entanglements that come from respective points-of-view any more than can an artist throw down her brush because the colours on her palette inevitably influence the outcome of the art.

What rests, then, is to "offer the person, who makes the choice, insight into the significance of the desired object." (M. Weber, 6) Therefore, it does not necessitate the abandonment of the use of realism and world systems theory in one's work. It simply necessitates the inclusion of the ideas of Hobson, Ofuno, and the others. A paper can speak of a realist world order, but must also point out its biases and limits, and that to a scholar such as Tingyang Zhao (2006), it "misses the mark as a world theory". These theories, then, maintain utility, just not infallibility.

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THE FORMATION OF VOTERS FROM FAMILY AND EDUCATIONAL CONTEXT

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Abstract

The objective of this work is analyzing the development of some places since people's educational and family formation. Basing on family and school, for example, we explain into this research that electoral behavior is a voters' probable evidence of reflexive aptitude about development of some places. Results demonstrate that index of educational level and revenue allows these voters think about political and ideological characteristics of some places where they are. We can say that these people are able to think about strategies to develop the place where they live. In general, we also observe that voters and partisan policy are far one to another and voters, *a priori*, do not consider that the participation in electoral actions is important. Discussions on this work start from this question: are there any elements responsible to formalize a connection between voters and partisan policy? Then this work tries to answer this question based on theoretical debates about the subject and exemplifying realities before studied.

Keywords: Electoral Behavior. Regional Development. Educational and Family Formation.

Introduction

The research demonstrated here, it seeks to demonstrate the role of education and family development training places. It is noteworthy that the example shown is a Brazilian city, which was used as a focus for analyzing voting behavior.

The discussions around this perspective are given by the realization that the voter behaves in voting from their social context. According to Ali (2008) there are three articles to refer to the founders of this perspective: The people's Choice conducted by Lazarsfeld and Gaudete (1944), Voting by Lazarsfeld and McPhee (1954) and Personal Influence by Katz and Lazarsfeld (1955). This theory originated in Columbia School called the publication of the book The People's Choice.

Studies at Columbia University brought as assumptions the results found that the relationship between voting behavior and the social groups to which they belonged voters was considerable as to be possible to explain the electoral choices using only three factors used in the study: socioeconomic status, religion and place of residence Antunes (2008). In this sense, the socioeconomic and cultural determinants are elements strongly emphasized in this theory. The assumption is that voters who are in a similar situation develop social behaviors and also similar electoral-political attitudes. The development of places and regions, permeates through each person's own attitudes. In the case in question is relevant to reflect on the role of family and school as elements that influence the formation of voters. The discussions that occur between people of the same family, for example, leads to the construction of voters and thus the educational context in which students (for example) are inserted, enables understanding of political processes, partisan politics and political strategies for development. Therefore, the fruitful training people as voters (realized through educational and family context), enables

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the growth of able to reflect on their real needs in people living environment, these being, able to analyze the demands of public policy for the own regional development.

The formation of the person as voter: theoretical debates on the theories of electoral behavior

It is understood as voting behavior, attitudes that people possess eligible to vote in election periods. However, it can be stated that the voting behavior goes beyond electoral periods of intense activity, it is built over the course of one's life, which can be modified according to the social context in which the voter lives, or shall live.

Discussions referred to, has listed are three explanatory theories of voting behavior, namely: 1. Sociological Theory; 2. Psychological Theory and Psicossocílógica or; 3. Rational Choice Theory. Table 1 summarizes the main features of explanatory theories of voting behavior.

Table 1: Approaches concerning theories of voting behavior

Theories	Focus	Authors used	Features
Sociológical	Social context	Precursors comes from the School of Columbia in the United States. In this work basically the brazilian Lago (2005), Radman (2001) and Antunes (2008).	Does the voter's decision as an attitude influenced by its surroundings. Has two bias analysis: Through optical Marxist and non-Marxist.
Psychosociological	Cognitive	Antunes (2008)	The voter is the unit of analysis. This theory is based on the motivations and perceptions that lead electoral behavior.
Rational choice	Voter rationality	Carreirão (2007) e Kinzo (2005)	The center of this theory lies in the ability to think rationally voter's vote. It has two major assumptions. The ability of voters decide their vote via aspects of the economy (retrospective voting) and the ability of voters think their vote for the benefits that it will get the choice (prospective voting) future.

Through general about the singularities of the three theories that explain voting behavior approach, we seek to enter into a more detailed analysis of the approaches in Table 1. To study the vote decision therefore becomes imperative that a discussion of these three theories (sociological, social psychological and rational choice).

Sociological Theory

The origin of Sociological Theory stems from concern to understand the social context in which the elector is entered. The discussions around this perspective are given by the realization that the voter behaves in voting from their social context. Thus, the importance of Sociological Theory is also in the diversity of variables used in the analysis, for example, the values associated with the tradition and religious identity variables recognized as a sort of "contract" able to establish bonds of representation.

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In this sense, the socioeconomic and cultural determinants are elements strongly emphasized in this theory. The assumption is that voters who are in a similar situation develop

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social behaviors and also similar electoral-political attitudes. Radmann (2001) argues that social contexts can be understood as a political and social contexts in the theory and the distinction is used to identify the social structure and the various social groups or classes that compose it.

Psychological or psychosocial theory

The social psychological theory has emerged from studies of a group of researchers from the University of Michigan[171] in the United States. In this theory, the voter is the center of the analysis, our, their motivations are the psychological level unit of analysis. Basically the premise of this theory is that voting behavior is assigned based on the beliefs of the voter and also the structure of personality.

According to Ali (2008), the social psychological theory arose from studies on the 1948 U.S. presidential elections, whose results were analyzed and explained by Campbell and Kahn (1952) titled: The People Elect a president that subsequently led to the publication of The American Voter.

In the statements of Ali (2008) it is understood that the central concept of the theory of voting behavior is parties identification. He says partisanship is conceived as psychological affinity, stable and durable in relation to a political parties, however, is not necessarily based on a specific link, our, a genuine militancy by the political parties.

The explanation of the concept of parties identification was introduced in the study of voting behavior, according to Antunes (2008), by Campbell in 1960. This was influenced by the concept of the reference group to which the voter has an anticipatory socialization, our defines and selects a group and just acting similarly to this group.

Thus, the purpose of this theory is to understand how the voter conceives its existence through opinions expressed in the social context, and also how is the structure of those opinions that possibly lead to different decisions. This theory also seeks to identify how voters learn the organization of the society in which they live and their social relationships.

In psychological theory, ideology is not a decisive factor in determining the vote and thus being parties identification (for example) does not occur for ideological or pragmatic links, but based on the beliefs, feelings and emotional ties. It is in this sense that we can mention that the interest in partisan politics varies from person to person and that this may change according to the importance and political stimuli from their social group. But the political attitudes and stimuli would not be assigned by the social and economic origins or social class. Politicians begin stimuli[172] in the social environment of the voter, from the initial formation process through his family, and the degree of importance of the policy would result in political socialization that would be processed in the system attitudes shared by voters with similar socioeconomic and cultural characteristics.

The relations of life that establishes the voter become paramount for your choice, the family being the first element influencer. Thus Lake (2005) explains that in this current study demonstrated that partisanship does not occur through the socialization process, but, in particular, from family traditions. That is, the voter "chooses" first parties (in accordance with the directions made by the other constituents of your family) to subsequently seek a justification for this choice. So the parties identity seems less defined by an identification of

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[171] School Michigan is the name given to a group of researchers from the University of Michigan, USA, under the leadership of Angus Campbell. Created in the late 1950, the Michigan model has its greatest expression in the book The American Voter Campbell (1960) and Figueiredo (2008).

[172] For political stimuli understands the motivations that the individual has in their life. Informal conversations, news about partisan politics, teachings passed on by the family, are examples of stimuli that a person has throughout his life. These motivations contribute to a closer relationship between the individual and partisan politics Lago (2005).

political- ideological than function relations of friendship and kinship (social context) to which each voter belongs.

The social psychological theory can thus be a useful tool for analyzing the decision of the voting element, given its contribution regarding the acting subject as a group, especially as susceptible to influences of collective order, for example, your family and their social context.

Theory of Rational Choice

The prospect mentioned this theory takes into account the ability of rational voter in deciding their vote. It is considered among the mentioned, which most differentiates the act of voting, our, the voter decides their vote for aspects that he directly considers important.

The assumptions of this theory were established by Anthony Downs in his work entitled Economic Theory of Democracy. This theory is commonly referred to as Theory of Rational Choice, because trying to explain voting behavior by economic parameters used by the voter to decide their vote Antunes (2008).

Rational Choice Theory is divided into three approaches of studies (economistic current , prospective dowsiana Theory and Models): 1) Current economistic - the voter , a priori , takes into account the aspects of the economy to decide your vote and rejects the psychological components individual motivations . According Radmann (2001), the focus of hummus Econumicus , each voter alone acts and reacts continually in response to what perceives and experiences regarding the economy and responds positively to parties/candidates of the situation when the economy is doing well , and opts for parties/candidates of opposition when the economy goes bad .

In the words of Ali (2008) the assumption used by Antony Dows is relatively simple: if the assumptions of rational choice are able to explain the workings of the market, then they can also explain the functioning of the rationality of voting. According to the author, the operation of Rational Choice Theory is consolidated on three premises: 1. All decisions (both voters and political parties) are rational; 2. The democratic political system has implicit decisions made by voters and political parties; 3. The democratic system has a significant level of uncertainty to allow different options to choose from.

Therefore, a rational decision should be logical, in which the decision process is related to the acts of the party and/or candidate group. The voter evaluates positively the proposals that are closer to their interests and future performance through performance that the candidate has in the past. This whole analysis process can be seen as an element of maximizing voter action, while on the other hand, rational choice assumes the logical interrelationship between political positions and ideas of voters. For this, it is expected that this voter is adept at positions meets the ideological scope of a particular partisan group (for example) having a political position on the subject X Y. Each act of rational policy decision is taken in consultation this evaluative framework that contains an articulation between the political and social world his explanation Silveira (1998).

A nova escolha não-racional, diferentemente, não é lógica. O eleitor escolhe o candidato intuitivamente, sem relacionar logicamente opiniões e avaliações políticas, mas através do percurso de "ir dentro", de captar o significado de cada candidatura para estabelecer identidade com uma delas ou rejeitá-las, não participando das eleições (não comparecendo, votando em branco ou anulando o voto). O voto é definido através de uma identificação construída em função do gosto, a partir dos sentimentos e da sensibilidade do eleitor. Ele identifica o candidato do seu gosto do mesmo modo que julga a beleza de um objeto ou como define o gosto pelas pessoas no cotidiano (gosto de uma pessoa pelo jeito de ser, pelo que ela passa Silveira (1998: 209).

Often what is supposed to be rational is also considered (in this case by Silveira, 1998) , just as an intuitive choice , based on trial for sensitivity, as noted earlier. Thus, it is

considered the ideological structuring this voter as weak because it does not think coherently to establish a chain between voters and ideology. What is observed are voters with low capacity to participate in the "world of politics."

The Theory of Rational Choice, and its various contrasts, may be regarded as of paramount importance to the debate about electoral behavior. Understanding how the structure of thought occurs voter through "downsiana" economistic and currents demonstrates the particularities of voters who may be located in different realities . However, for the study of voting behavior is necessary to consider some of the statements in this dimension, since rational choice leads to much more sensitive and personal information of voters.

The education training/Family as a tool for development: examples on electoral behavior

Search to this item, analyze the cognitive behavior of people as voters. For this fact, it is understood that the formation of the voter, for example through family and their educational environments are relevant in the construction of electoral behavior.

Might infer that the development of a family or a society, permeates positive situations of income and education. For electoral behavior is possible to mention that income and education are also elements to build a capacity to reflect on policy issues or developments strategies from their places of living (country, county or parish, for example). Establishing good levels of income and education, thus become elements of structuring a voter with ability to perform their reflections on reality.

Thus, this contribution seeks to highlight studies in a Brazilian city, specifically, Guarapuava/Brazil[173]. Through this context enabled the identification of several elements which contribute to the development of the municipality, including voting behavior. For this, the focus of the research allowed to observe the relevance of the elements ' income and education "for the cognitive development of voters, which differed by political and electoral positions.

The electoral-political positions, as well as other cognitive abilities voter (potentiated or not by income and education) contribute to decision making and influences in these various means of society. The fact thus contributes to the strengthening of a cohesive place in people and able to reflect the regional development.

In this light one can have as a reference to income and education affect a reflective and skilled behavior of people (to which voting behavior is included), enabling the territorial transformation through those who know in details the reality of the place: the residents.

In the Brazilian case, the institution has listed is "political parties" to analyze the knowledge that people have about such an institution. Here it is considered that as the voter knows or uses as part of the political parties to decide the vote, the greater their understanding of the elements that interfere with the development of their municipality (in this example , political parties). The following table shows the elements for voting decision according to the degree of education.

Table 2: Guarapuava: Elements for voting decision according to educational level

Schooling*	Elements for voting decision (%)	
	The person, the candidate	The political parties
4th grade - Elementary Education (initial series)	91	9
5th to 8th grade - Elementary Education	86	14
3rd 1st Series - Secondary	87	13

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[173] Guarapuava located in the state of Paraná (southern Brazil), has a population of 170.000 habitants.

	75	25
Graduation		
Postgraduate (specialization, masters and PhD)	25	75

*The reference for schooling, equivalent level is given by the voter went to school, regardless or whether or not completing the course.

By comparing the data of the electorate with the highest level of schooling to those with lower education levels can be observed that there are significant differences between voting decision. The differences between voters graduate compared to those belonging to the early elementary grades were 66%, when observing the use of political parties as a basis for voting decision.

These differences stem from the greater ability of the electorate with more education to use, for example, the ideological positions of political parties to decide their vote. For this type of voter its decision is an easier way that often even need to analyze proposals for campaigns such as this example from the application of the questionnaires. "How do I vote only for candidates of the partie PT, I need not worry about the different proposals that have elections. I now wonder how the government will [...]" (Voter, 37, microentrepreneurs).

Another element was verified income, but without fail to understand that income and education are interrelated criteria in determining the voting process, as this usually (not always) results in higher levels of schooling . Search results in Guarapuava from the questionnaires show that income levels were significantly different, as shown in Table 3.

Table 3: Guarapuava: Elements for voting decision according to income

Monthly household income *	Elements for voting decision (%)	
	The person, the candidate	The political parties
Until ½ the minimum wage	100	0
½ a 1 minimum wage	89	11
1 a 2 minimum wages	95	5
2 a 3 minimum wages	82	18
3 a 5 minimum wages	90	10
5 a 10 minimum wages	75	25
Above 10 minimum wages	25	75

* The reference is the minimum wage of R$ 724.00 - approximately €215.00

In a more detailed analysis of table 3 it can be inferred that some numbers do not show an apparent influence of income on vote decision by person or political parties, that results because some of the higher levels of schooling reveal similarities with lower levels monthly income. Example is the voters belonging to income levels between 3 and 5 minimum wages, which had fewer significant figures in the final decision by political parties compared to voters belonging to lower income levels (respectively, 1 ½ to minimum wage and 2-3 minimum) wages.

The variations occur for several reasons, among them growth opportunities for studies of various segments of the social strata, as well as those voters who have high level of income, but their level of education is low. And lastly, one voter who is unmotivated by partisan politics and, thus, vote in person you think has some edge over the other, as shown in all the analyzes of the questionnaires.

The cases cited, provided an understanding of how people's development occurred through the aforementioned elements (income and education) . In this sense, the family for example, is closely linked to the influence of " income " as used income levels per household in the samples. Then, just for the increase in income, there are also increases in schooling. The two elements together, enable the formation of voters and/or people with greater opportunities to act in its context, our, they also have greater opportunities to develop their seats, as in the

case cited, the reflection and understanding of partisan politics and vote, are configured as able to contribute to the local-regional development choices .

Given the above, here arises the family is relevant to the performance of people in various spheres of society, which in the proposed study, was based on the analysis of these people as active in parties politics, as voters. Table 4 shows the total responses related to environments where discussions related to partisan politics occur. It is noticeable the relevant number of people using the family as a way to discuss the topic.

Table 4 - Guarapuava: Talk about partisan politics in media coexistence of voters.

Means of coexistence of voters	Total* (absolute numbers)
There is no discussion	31
Family	24
Job	11
University	4
Church	2
School	2
Others**	5

* The total represents the responses of voters about the existence of discussions about partisan politics in their means of living. Remember that each voter could indicate more than one place of discussion or even all.

**Some voters mentioned elsewhere that can also be regarded as relevant to the discussion of partisan politics on a day-to-day activities, such as recreation areas, bars, restaurants and neighborhood associations.

With the results it is observed that most of the electorate does not discuss partisan politics researched on their various places of living[174] At different times of conducting the research it was observed that few voters understand partisan politics in a specific way, our, having the political parties as the basis for this understanding. For them partisan politics boils down to political parties and thus other issues involving partisan politics, for example, candidates, elections and voting are not part of this discussion.

In a second interpretation is possible to observe the numbers that involve discussion of partisan politics regarding the family and belonging to the workplace means. These data the observations in social psychological theory that this clarifies the importance of family and other means of coexistence voter to define their individual character and also their opinions on issues such as parties politics were analyzed.

According Radmann (2001), the political motivations are initiated in the social environment of the voter from his first training process through the family, and the degree of importance of parties politics would result in political socialization, which would be processed in the system attitudes shared by voters with similar socioeconomic characteristics.

Thus, it is understood that family participation as motivator of discussion about parties politics it is important for the consolidation of knowledgeable voters of the electoral process and also provided with knowledge on political parties , which may lead to identification partisan.

At different times of Conducting the research it was observed few voters understand partisan politics in a specific way, our, having the political parties to the basis for this

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[174] Although "discussions" or debates in large numbers in all categories mentioned, does not occur can be seen that the number of discussions about partisan politics in the family environment is considerable. What justifies the research conducted on the development of people through family / educational training, taking into account the relevance of these elements to the debate on pertinent development issues, such as partisan politics.

understanding. For Them partisan politics boils down to political parties and other issues Involving Thus partisan politics, for example, candidates, elections and voting are not part of this discussion.

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Thus, it is Understood family participation motivator of the discussion about parties politics it is important for the consolidation of knowledgeable voters of the electoral process and Also provided with knowledge on political parties, Which may lead to identification parties.

Concomitantly (Table 4) must be observed other figures for university, church and school that are insignificant compared to those numbers mentioned above. The school, university and church groups are having great capacity for expression and formation of opinions, such that groups are considered vital to many. Nevertheless, partisan politics is not discussed in these ways of living together, the survey data, since the school, for example, is presented by an unimpressive number of voters as discussion of partisan politics environment.

Therefore, it is through these various groups that discussions on themes "parties politics" could occur more frequently and that the vote could be understood (through socialization of ideas) as an important element to society, being used as a way of acting and develop places.

Conclusion

From the discussions exposed during this text, we tried to highlight the importance of family and educational context for the formation of people able to contribute to the development of their places of living. Obtained as focus the analysis on the ability of these people to reflect on intrinsic themes in partisan politics. This ability, influence the electoral behavior of voters who have the income and education conditions of his qualifications for such reflection.

It approaches so this reflective capacity, soon leads people to contribute to making policy decisions and thus making decisions that affect to the local - regional development. In the Brazilian context, it is observed that low levels of income and education for example, influenced voters not knowing the political- ideological proposals of political parties, which interfered so they do not vote by partisan identification. The fact may also be placed as an element of ignorance of their rights and duties with respect to the improvement of public services for example. This voter devoid of political knowledge, not possibly contributes active in developing new strategies for their respective places form.

For this, the opposite occurred in those voters with high levels of education and income. Families provided with political knowledge, and directly influence the discussions on "politics", also potentiated the educational background of their loved. Therefore, people who belong to this medium, made real capabilities of knowledge about politics and political parties, for example, then there is a contribution in respect reflections on demands and needs of their respective locations. Absence of these phenomena, it can be stated that family/educational background of people contributed to the development of places.

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LEGAL ASPECTS OF MIGRANTS SMUGGLING AT THE SEA BORDER BETWEEN HELLAS AND TURKEY

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Abstract

Organized crime (Note 1) has a global character and is one of the most serious threats in the modern societies for decades. This phenomenon because of the characteristics that govern modern societies and economies, namely globalization, transnational flows, reduction of distances due to the technology evolution has taken international dimensions. These evolutions help the development of international profitable illegal activities.
Organized Criminal Groups (OCG) are operating simultaneously in more than one countries internationalizing with that way crime, making difficult and painful its effective and comprehensive combat. Besides the international character of modern organized crime, an additional problem is the modernization of mode and methods of action that are used by criminal groups. In criminal phenomena that characterize our time is included illegal immigration. Illegal immigration is a social – political, and economic phenomenon that leads people to search a better quality of living in various places different of their origin place. Consequently the hope of these people was and is a profitable business for others.

Keywords: illegal immigration, United Nations (UN), Law Enforcement Agencies (LEA), organized crime, Organized Criminal Groups (OCG), Hellas, Turkey, sea borders, Hellenic Penal Code (HPC), Hellenic Coast Guard (HCG), Hellenic Police (HP)

Introduction

Migration is a phenomenon with specific causes, such as the widening of social and economic inequality, civil wars, climate changes, environmental disasters etc. Considering the fact that the European Union (EU) in general is consisted by Member States (MS) which in their majority are characterized by economic prosperity and political stability, can be understood the reasons for which EU is the major destination for every person who wishes to improve his/her life quality, looking forward in a better future. Important role in the selection of EU as migrants' final destination is also its proximity to Asia and Africa (Map 1 about here).

Hellas since the beginning of 1990s has become a host country for migrants and particularly appears to have the largest proportionally number of immigrants in the EU. The causes for Hellas conversion in a host country for migrants are based on the economic development of the country that had been achieved in the previous years as also to broader political and social developments that have taken place in Europe and in the area of the Balkan Peninsula in the previous years. Hellas in order to combat this phenomenon has taken a lot of legislative initiatives in a national level but also in an international level, participating in drafting and signing of international texts, which then are integrated into its national legal system.

In order to put an end to the migrants smuggling by land, sea and air, the United Nations (UN), decided to promote the cooperation and the exchange of information between States and to set the conditions in order to be taken the appropriate measures at regional,

national and international level, through a protocol supplementing the United Nations Convention against transnational organized crime and interpreted together with this.

With the law 3875/2010 (A ´ 158) titled "Ratification and implementation of the United Nations Convention against transnational organized crime and its three protocols and relevant provisions", the Hellenic Parliament ratified the Convention against transnational organized crime, signed in Palermo (Italy) on 12-15 December 2000 and its three Protocols, including the Protocol against the smuggling of Migrants by land, sea and air.

The Convention provides the following:

Preventing and combating smuggling of migrants as well as the promotion of cooperation among Member Parties, while in the same time protects the migrants' rights.

Each State adopts legislative measures in order to establish as criminal offences when are committed intentionally and in order to be obtained, directly or indirectly, a financial or other material benefits, the migrants smuggling, the production, supply or possession of illegal travel documents, the participation and complicity in offences of migrants smuggling.

Also must respond expeditiously to a request from a partner State.

Each State must designate an authority to receive and to respond in requests for assistance, while is taking the appropriate measures providing to migrants adequate protection against violence that may be exercised against them either by persons or by groups. Parallel each State agrees to facilitate and to accept, without undue delay, the return of a person who is a citizen of it or has the right of permanent residence in its territory at the return time.

The Convention has been ratified by the majority of United Nations MS and within the framework of this are functioning partnerships in order to combat the problem.

The purpose of this brief study is to examine critically and chronologically the provisions which were formed by the Hellenic legal order since 2000, when the Hellenic State signed the Palermo Convention, until 2010 when was incorporated into the national legal order, in order to combat the phenomenon of migrants smuggling. At the same time will be examined the situation at the sea borders between Hellas and Turkey during the period 2006-2012, period where are observed movements of migration flows from sea borders at land borders and lately from August 2012 till now from land borders to sea borders for specific reasons which will also be examined (Map 2 about here).

For the development of this concise study will be exploited the existing legislative framework, namely laws, introductory reports, minutes of the responsible Standing Committee on Public Administration, Public Order and Justice, reports on the laws issued by the A´ Scientific Division of the Hellenic Parliament as well as statistics from the competent Directorate of the Hellenic Coast Guard (HCG) Headquarters. Finally this brief study will be completed by citing the conclusions arising from its development.

Provisions concerning combating migrants smuggling in the Hellenic legal order

Law 1975/1991 (A´ 184) was the first act containing provisions on the entry and stay of aliens in Hellas. This law did not respond to the reality that has been set up, with result the practice of the Hellenic public administration officials to deviate from its provisions. At the same time while at the time of its drafting was visible mainly the migratory pressures in the EU from the East, had not been foreseen by the Hellenic Government that Hellas would become very soon from traditional migrant sending State to a host State of influx migration flows.

The weakness concerning the effective border guarding, the inelasticity and the legislation obsolete, led to the creation of an illegal growing population of residents and workers in Hellas. Despite their contribution to the national economy, many of these persons

remained at the margins of the Hellenic society in conditions below of them that are dictated by the human dignity and thereby often to be led in criminal behaviors.

In 1997 was established a initiative of setting a system concerning the registration and incorporation of illegal aliens population through the Presidential Decrees (PD) 358 and 359/1997 (A΄ 240) according to which was established a parallel with the predictable in the law 1975/1991 title of alien legal residence and work in Hellas, known as "green card". But problems in the Hellenic public administration concerning the coordination of the services as also the ambiguity regarding the advantages arising from its possession, led a large number of aliens to the exclusion of the granting process.

With the law 2910/2001 (A΄ 91), attempted to be overcome the shortcomings of law 1975/1991. But this law failed. The initial purpose for aliens' registration and legalization by granting provisional authorization was not completed as the whole process was extremely bureaucratic. The complex and the bureaucratic structure of the law, the lack of a clear purpose and mainly the deficient treatment of a large number of aliens' special cases, created the need for repeated legislative interventions at modification and addition level, which, however, did not produce the desired results in solving problems regarding its implementation.

1.1. Law 3386/2005 (A΄ 212), «Entry, residence and social integration of third-country nationals in the Hellenic Territory»

With law 3386/2005 (Note 2) attempted try to be filled the blanks and the omissions which were identified in the previous decade, but also to be undertaken a strategic initiative on the management of migration flows, taking under consideration the developments in the EU (Note 3) but also utilizing the experience gained from the implementation of law 2910/2001, establishing for first time provisions for the integration of migrants into the Hellenic society.

The main axes of the law on the establishment of a modern, long-term and socially equitable migration policy were and are the following:

A.-The rational planning concerning migrants' entry into the Hellenic territory, based on specific qualities and taking into consideration the data and the needs of Hellenic economic and social life.

B.-The avoidance of casual and uncontrolled regime changes, whereby legally installed the alien in Hellas.

C.-The ensuring of aliens work conditions who come to Hellas in order to work in conditions befitting to a modern constitutional State.

D.-The introduction of a new modern migrant's social integration system.

E.-The establishment of the proper guarantees concerning the effective enforcement of Hellenic legal order rules in order to be avoided uncontrolled phenomena of aliens entry and exit in the State.

F-The ensuring of appropriate conditions for unhindered exercise of any kind of aliens rights, particularly those relating to the free development of their personality, their free participation in the Hellenic economic and social life under social justice, respect of their specific features mainly of them which derive from their origin.

In parallel with this specific law attempted to be established a management system as possible less bureaucratic, functional, beneficial for the Hellenic economy and mainly safe for economic migrants' rights in Hellas, introducing a number of innovations compared with the existing legislative framework, the most important of which are:

A.-Creation of an inter ministerial body concerning the coordination of migration policy.

B.- Residence and work permission integration in one act issued by the General Secretary of the region.

C.-Streamlining of aliens repeal system for work in Hellas, by the empowering and the effective activation of Regional Immigration Committees, which will determine the needs of the workforce at the regional level and in detail for every prefecture, in accordance with the supply and demand of labor per categories specialization ratings and always in accordance with the existing relevant national workforce.

D.- Allocated residence permission types rationalization and reduction of the respective categories. Completely definition of cases in which are granted a residence permission on humanitarian grounds in order to be avoided the abuse.

E.-Provision of basic principles concerning the acquiring of the status of long-term resident third country national in Hellas and the determination of criteria for its granting.

F.- Basic principles forecasting concerning the social integration of aliens in the Hellenic society with the assistance of specific criteria.

Z.- Clear preconditions establishment concerning the facilitating family reunification.

H.- Independent economic activity exercise facilitating and realization of large investments on   granting residence permission side.

I.- Controls intensification in the direction of restricting the entry and residence of illegal aliens in Hellas.

I.- National legislation completely and timely harmonization with the existing European institutional framework and the trends that are being developing within the EU.

The faster issuing g of the relative acts and the valid information of each interested party were going to be achieved through the modification of regions organizations, the electronic interconnection of the engaged stakeholders for the regions organizational restructuring, the organization of reception services and information providing concerning requests for the granting of residence permission.

The law is consisted by 20 chapters and 98 articles.

Chapter A´ contains definitions and the scope of the law.

Chapter B´ contains regulations for border crossings police control.

Chapter C´ foresees the general conditions concerning entry and residence of third-country nationals.

Chapter D´ contains the horizontal provisions referred to the general conditions for granting residence permission.

Chapter E´ refers to all types of residence permission for work.

Chapter F´ refers to residence permission for exercising an independent economic activity and investment purposes.

Chapter G´ refers to the granting and renewal of all residence permission types granted for specific reasons.

Chapter H´ refers to residence permission for exceptional reasons.

Chapter I´ includes a package of provisions relating to the granting and renewal of residence permission to victims of trafficking in human beings.

Chapters J´ and K´ refer to residence permission for family reunification as also and the right of third-country nationals' residence who are family members of a Hellenic or EU citizen.

With Chapter L´ were introduced for first time in the Hellenic legislation provisions concerning the integration of third-country nationals in the Hellenic society.

With Chapter M´ was introduced for first time a set of arrangements concerning the procedures of acquisition of long-term resident status.

Chapter N´ refers to a few days residence.

Chapter O´ describes the rights and the obligations of third country nationals.

Chapter P´ refers to special restrictions, the revocation of residence permission and to the deportations.

Chapter Q´ refers to general obligations and their respective penalties for infringements in case of their violation.

Chapter R´ refers to functional issues.

Chapter S´ and T´ refer to transitional and final provisions.

1.2. Law 3772/2009 (A´ 112), «Reforms in the organization of the forensic medicine service, in drug users therapeutic treatment and other provisions»

With article 48 of the law 3689/2009 were made amendments – additions to article 76, 87 and 88 of Law 3386/2005 making the penalties for those who facilitate the entry in the Hellenic territory or the exit from it of a third country national without being subjected to the control which is foreseen, more stringent. Also were made stricter the sanctions in masters or captains of a vessel or of floating boats or of a aircraft and to drivers of any kind of transportation means carrying from abroad in Hellas nationals of third countries who do not have the right of entry to the Hellenic territory or to whom has been refused the entry for any reason, as well as to those who receive them from the entry points, from external or internal borders, in order to promote them within the country or in the territory of EU MS or in a third country or facilitate their transfer or provide them accommodation for concealment.

Also in the same article is foreseen that property which consists product of criminal activity of this article, as well as of paragraphs 5, 6 and 8 of article 87 of Law 3386/2005, or acquired in any manner from such criminal activity or property used in whole or in part, for the aforementioned criminal activity is seized and if there is no relieve case to be rendered to the owner according to articles 310 paragraph 2, «Decision that should not be done accuse etc.» and 373 of the Criminal Penal Procedure (CPP) «Costs. Fate of the things seized», is confiscated mandatory with the conviction. The confiscation is enforced even if the property belongs to third, in case he/she was privy to criminal activity at the time of property acquisition. In case that the property or the product in the previous subparagraph exceed four thousand (4.000) Euros and is not able to be confiscated, are seized and confiscated under the terms of the preceding subparagraph property assets of equal value to that of the aforementioned property or product.

Finally a significant prediction is the anticipation that the provisions of this article and of paragraphs 5, 6 and 8 of article 87 shall be enforced and when the predictable in them offences were committed in abroad by national or alien even if these are not punishable by the laws of the country in which they were committed.

Predictions in the United Nations Convention against Transnational Organized Crime

Law 3875/2010 (A´ 158), «Ratification and implementation of United Nations Convention against Transnational Organized Crime and its three protocols and relative provisions»

The purpose of the United Nations Convention against Transnational Organized Crime organized cross-border crime as referred in article 1 is to promote cooperation to prevent and combat transnational organized crime more effectively and in particular as far as concerns this study the combating of migrants smuggling.

the Hellenic legal order has been criminalized the participation in an organized criminal group with law 2882/2001 (A´ 141), having taken into consideration during its drafting and the provisions of Palermo Convention.

The Convention has entrenched its scope in the transnational organized crime but however in any case and according to articles 3 paragraph 1(a) and 34 paragraph 2 the offences established according to articles 5, 6, 8 and 23 of the Convention (participation in organized criminal group, legalization of crime products, corruption and justice obstruction), must be established in the domestic law of each State Party independently of their transnational nature or the involvement of organized criminal group, with the exception of

article 5 (participation in an organized criminal group) as far it requires the involvement of organized criminal group.

In this way, Palermo Convention composes a comprehensive legal basis for the promotion of cooperation among Member Parties to prevent and combat transnational organized crime.

The purpose of the Protocol that bears the title «Protocol against the smuggling of migrants by Land, Sea and Air supplementing the United Nations Convention against transnational organized crime», is to prevent and to combat smuggling of migrants when is involved organized criminal group and the promotion of cooperation among Member Parties in order these purposes to be fulfilled while are protected and the rights of smuggled migrants. More specifically:

In the article 1 is fixed that the Protocol supplements the United Nations Convention against Transnational Organized Crime and it shall be interpreted together with the Convention. The provisions of the Convention shall apply mutatis mutandis to the Protocol, unless otherwise provided in the Protocol.

In article 2 is determined that purpose of the Protocol is to prevent and combat the smuggling of migrants, as well as among States Parties to that end while protecting the rights of smuggled migrants.

For the purposes of the Protocol is referred in article 3 the containing of individual terms, such as "smuggling of migrants", which mean the procurement, in order to obtain, directly or indirectly, a financial or other material benefit, of the illegal entry of a person into a State Party of which the person is not a national or a permanent resident, "Illegal entry", "Fraudulent travel or identity card" and "Vessel".

Concerning the meaning of "Vessel", it should be noted that article 1 of the Private Maritime Law Code (K.I.N.D.) [law 3816/1958 (A´ 32] and article 3 of the Public Maritime Law Code (K.D.N.D.) [Legislative Decree 187/1973 (A´ 261)] delimit the meaning. Also article 88 of Law 3386/2005 (A´ 212) is reefed to the masters or captains of a vessel, floating craft or aircraft and to drivers of any kind of transportation mean. The Protocol includes in the vessel concept and the seaplanes.

The Hellenic legislation requires for the vessel concept destination and not only movement ability at the sea, that's why the seaplanes are not considered as vessels since they have the ability to sail into the sea during the alighting and taking off, but are destined to move in the air. For them the motion at sea is helpful only for flight (Note 4). For the purpose of the Protocol and according to article 4 (Scope of application) in cases of migrants smuggling, since the crimes are transnational in nature and involve an organized criminal group in the concept of the vessel are included and seaplanes.

In article 4 is defined the application scope of the Protocol. More specifically the Protocol shall apply, except as otherwise stated in it, to the prevention, investigation and prosecution of the offences established in accordance with article 6 of the Protocol, where the offences are transnational in nature and involve an organized criminal group.

In article 5 is stated that migrants shall not become liable to criminal prosecution under the Protocol, for the fact of having been the object of conduct set forth in article 6.

In article 6 is specified that each State Party shall adopt such legislative and other measures as may be necessary to be established as criminal offences, when committed intentionally and in order to be obtain, directly or indirectly, a financial or other material benefit:

(*a*) The smuggling of migrants;

(*b*) When committed for the purpose of enabling the smuggling of migrants:

(i) Producing a fraudulent travel or identity document;

(ii) Procuring, providing or possessing such a document;

(*c*) Enabling a person who is not a national or a permanent resident to remain in the State concerned without complying with the necessary requirements for legally remaining in the State by the means mentioned in subparagraph (*b*) as mentioned above or any other illegal means.

In the same article is determined that each State Party shall also adopt such legislative and other measures as may be necessary to establish as criminal offences:

(*a*) Subject to the basic concepts of its legal system, attempting to commit an offence established in accordance with paragraph 1 as mentioned above.

(*b*) Participating as an accomplice in an offence established in accordance with paragraph 1 (*a*), (*b*) (i) or (*c*) of the specific article and, subject to the basic concepts of its legal system, participating as an accomplice in an offence established in accordance with paragraph 1 (*b*) (ii) of the article.

(*c*) Organizing or directing other persons to commit an offence established in accordance with paragraph 1 of the article each State Party shall adopt such legislative and other measures as may be necessary to establish as aggravating circumstances to the offences established in accordance with paragraph 1 (*a*), (*b*) (i) and (*c*) of the article and, subject to the basic concepts of its legal system, to the offences established in accordance with paragraph 2 (*b*) and (*c*) of the article, circumstances:

(*a*) That endanger, or are likely to endanger, the lives or safety of the migrants concerned; or

(*b*) That entails inhuman or degrading treatment, including for exploitation, of such migrants.

Finally is determined that nothing in the Protocol shall prevent a State Party from taking measures against a person whose conduct constitutes an offence under its domestic law.

In the Hellenic criminal law all these behaviors are already criminal offences and are combated with strict penalties. In particular migrants smuggling as this is provided in the Protocol [article 6 paragraph 1 (a)] is regulated in the Hellenic legislation by Chapter IZ «General obligations – Sanctions» of law 3386/2005.

The unlawful behaviors referred in paragraph 1 (b) (i and ii) are covered by article 216 of Hellenic Penal Code (HPC) (forgery), 220 (snatching away false attestation), 242 (false certificate, distortion, etc.), in conjunction with article 187 paragraph 1 of the same Code.

Also, if the false travel document or identity card was issued with bribery or coercion are implemented the provisions of the HPC as articles 235, 236,333, 386, 372, 374. More specifically, article 216 paragraph 1 (forgery) punishes the making of false document and the distortion of the document.

With the second subparagraph of paragraph 1 the use of the document by the same person is considered as an aggravating circumstance. With paragraph 2 is punishable and whoever knowingly makes use of counterfeit or adulterated document.

Additionally according to subparagraph b of paragraph 3, with increased penalty is punished the perpetrator who commits forgery by profession or by habit and the overall benefit or the overall damage exceeding 15.000 Euros. With article 242 of the HPC is punishable the perpetrator if is a civil servant and responsible for issuing the certificate and certifies false facts in it.

Also is punished heavier if seeks committing of the above crimes in felony decree (216, 242) and establish or join as a member in a criminal organized group, in accordance with the conditions provided in article 187 of the HPC. Also in the Hellenic legislation and more specifically in article 87 paragraph 7 and 8 of law 3386/2005 is punished anyone who illegally possesses or uses genuine passport or another travel document of another person who also hold a passport or other travel document of another person or refuses to deliver it to the

relevant service as also anyone else who holds or uses a fake passport or another travel document.

Also is punished the responsible of travel or immigration office or anyone else who submit on behalf of a third person in the competent authority documents for issuing travel document with particulars that do not correspond to the person identity, as well as the one on whom behalf are submitted the supporting documents.

Concerning the criminalization of behaviors that are predicted in article 6 paragraph 1 (c), Hellenic legislation also punishes these unfair actions. More specifically, the granting of residence facilitation in a person who has entered in the country illegally is predicted in articles 84-87 of Law 3386/2005, in which:

a) are determined the cases in which public services, public legal persons, local self governments and services in the public sector are obliged not to offer their services to third-country nationals, as well as the penalties that are implemented in case of their violation,

b) are foreseen the obligations of notaries during the preparation of notaries acts when parties or participants in any way in these are third-country nationals as well as the penalties that are implemented in case of their violation,

c) are foreseen the obligations of employers who employ third-country nationals as well as the penalties that are implemented in case of their violation,

d) are foreseen the obligations provided for officials and other individuals as well as the penalties that are implemented in case of their violation, while there is explicit provision for at least 1 month imprisonment and a financial penalty of at least 5.000 Euros for anyone who facilitates illegal staying of third-country national (article 87 paragraph 6) or at least 2 years imprisonment, if the perpetrator acted by speculation.

Concerning the criminalization of behaviors referred in article 6 paragraph 2 (a) (attack), Hellenic legislation punishes these unjust actions with the general provisions of the HPC on attempted and more specifically article 42. Regarding the criminalization of behaviors referred in article 6 paragraph 2 (b) (participation), Hellenic legislation punishes the unjust actions with the general provisions of the HPC on participation and more specifically articles 45, 46, 47.

Concerning the criminalization of behaviors referred in article 6 paragraph 2 (c) (organization or guidance), Protocol, as referred in article 4 is implemented when is involved organized criminal group. Beyond the general provisions of the HPC on participation, the concepts of organization and directing are punishable in accordance with the provisions in the UN convention by article 187 of HPC when are referring to felonies commitment.

With article 87 paragraph 5 of law 3386/2005 is covered article 6 paragraph 2 (c) of the Protocol for the relative felonies.

As far as concerns the criminalization of behaviors referred in article 6 paragraph 3 (a) of the Protocol on the aggravating circumstances of the offences referred in paragraphs 1 and 2 of article 6 of the Protocol and more specifically those circumstances which endanger or may endanger the life or safety of the migrants is enforced the provision of article 88 paragraph 1 (c) and (d) of law 3386/2005 relating to cases that arose risk for a person or death occurred during migrants transportation. Also are in force and the relative provisions of HPC general part as for instance article 306 (exposure).

Regarding the criminalization of behaviors referred in article 6 paragraph 3 (b) on the aggravating circumstances of the offences referred in paragraphs 1 and 2 of article 6 of the Protocol and in particular those circumstances involving inhuman or degrading migrants treatment, including the one that has purpose their exploitation, the provisions of articles 323 A paragraph 1 of the HPC ("human being trafficking", the heavy bodily harm of the victim is an aggravating situation in accordance with paragraph 4 (d), article 351 paragraph 4 (d) of the HPC "pimping", where is an aggravating circumstance if the action is related to illegal entry,

residence or the victims exit from the country, in the event of death is imposed life imprisonment according to paragraph 5 of the above article).

Based on the above was not necessary the anticipation of new criminal sanctions for behaviors dealing that described in article 6 of the Protocol.

Articles 7, 8 and 9 of the Protocol refer on cooperation and in taking measures against migrants smuggling by the sea. In article 8 are determined the measures against migrants smuggling by the sea and more specifically the adoption of vessel control under Hellenic flag, when there are suspicious of carrying illegal immigrants and the possibility of vessel control by the Hellenic authorities suspected for illegal immigrants transportation.

Concerning the mentioned in article 8, paragraph 6 of the Protocol: «Each State Party shall designate an authority or, where necessary, authorities to receive and respond to requests for assistance, for confirmation of registry or of the right of a vessel to fly its flag and for authorization to take appropriate measures. Such designation shall be notified through the Secretary- General to all other States Parties within one month of the designation» in Hellas responsible competent authority is the Ministry of Aegean and Shipping via HCG and more specifically the Directorate of Sea Borders Protection.

Also with the Regulation (EC) 2007/2004 (26-10-2004, L 349/25-11-2004) has been established the European Agency for the management of operational cooperation at the external borders (FRONTEX) (Note 5). The European Agency for the management of operational cooperation at the external borders (FRONTEX) coordinates the operational cooperation between MS in the field of external borders management, assist MS in circumstances requiring increased technical and operational assistance at external borders and strengthens border security by ensuring the coordination of MS during the implementation of community measures relating to the external borders management. Additionally in combating to the phenomenon of illegal immigration contributes the European Police Office (Europol) and the European Union's Judicial Cooperation Unit (Eurojust) (Note 6). Hellas has common external sea and land borders with EU.

In article 9 of the Protocol are defined the protection clauses in case that the Hellenic competent authorities shall take measures in accordance with article 8 of the Protocol.

Article 10 refers to the cooperation of the States Parties for exchanging information on migration issues. As far as concerns Hellas competent authority for the collection and analysis of information provided in article 10 of the Protocol is the Crime Analysis Department of Public Security Division of Hellenic Police (HP) Headquarters. This department is responsible for the preparation of the report on the situation of organized crime in Hellas. In the above authority and on the basis of what has been referred in article 13 of the Protocol is entrusted and the travel documents checking.

The provisions in article 11, paragraphs 1, 2, 3 and 4 of the Protocol are adequately covered by the Hellenic legislation and in particular by the article 88 of the law 3386/2005, which refers to carriers obligations. Concerning measures referred in paragraph 5 of article 11 of the Protocol, article 8 paragraph 2 of law 3386/2005 is supplemented with subparagraph which provides the denial of entry or revocation of visas in person who in any way is involved in migrant smuggling by organized groups in accordance with article 6 of the Protocol (part of this article has been amended by article 48 of law 3689/2009).

In article 76 paragraph 1 (a) of law 3386/2005 is already predicted the administrative deportation of an alien who has been convicted finality, regardless of the penalty, for crimes involving inter alia migrants promotion, facilitating of transportation or promotion or providing accommodation and in subparagraph b and if «he/she has violated the provisions of this law».

In articles 12-13 are predicted the obligation of States Parties to take the necessary measures for safety, control and the validity of travel documents and ID cards.

Concerning article 14 of the Protocol, Hellas has undertaken initiatives for officials/executives training of relevant enforcement immigration agencies basically of the Ministry of Public Order and Citizen Protection (HP), Aegean and Shipping (HCG) for illegal immigration items with trainings in Hellenic Multinational Peace Support Training Center (P.K.E.E.Y.E.) in Kilkis (Hellas), and with the organization of seminars – training in Hellas through European Academy (CEPOL) in order to be transferred experience and know-how.

Regarding the provided in article 15 of the Protocol, in article 66 of law 3386/2005 and more generally in chapter IB concerning migrants social integration, in the integrated action programme, in the subprograms referred in paragraph 3 of article 66 and concerns the sensitization of public opinion, is predicted the public information on the dangers of illegal immigration by organized criminal groups.

Also in the article 2 of the PD 188/2002 (A΄ 175), «Establishment of Migration Policy Institute», which relates to the purpose of the migration policy institute, at the sub paragraph c is referred as purpose and «the design and implementation of communication policy for raising awareness of civil society on immigration».

Article 16 provides obligation for States Parties to adopt measures for the protection of persons who are victims of migrants smuggling, in accordance with article 6 of the Protocol.

Hellas with law 3386/2005 capitalizing previous legislative experience and practice and establishing for first time provisions for the social integration of migrants into Hellenic society, has established a management system on migration policy, which seems that can be completed, extending the implementation of the protective provisions for victims on trafficking and persons who were the subject of migrants smuggling. For this purpose is redefined the title of the legal meaning of the term "trafficking victims" (article 1i), and "smuggling migrants victim" (Article 1 k) and adopted very important measures for staying and working legally in Hellas of persons designated on the basis of the above concepts.

Specifically is upgraded the already envisaged granting and renewal of residence permission to aliens, nationals of third countries who entered illegally in Hellas in accordance with the provisions of article 14 of the European Council Convention on the action against trafficking in human beings, whether there were victims of trafficking or migrants smuggling (articles 46-52 of law 3386/2005), if their residence is judged as necessary either because of their personal circumstances, or for purposes of cooperation with the competent authorities (articles 46-52 of law 3386/2005), is granting the possibility of a residence limited power permission, is taking special care for unaccompanied minors, is granted a reflection period of three months, extendable for minors during which cannot be deported and cannot be enforced deportation decisions and is provided protection and assistance, while at the end already exists and the general possibility of granting and renewal of residence permission for humanitarian reasons under article 44 paragraph 1 (bc) and 4 of law 3386/2005.

Concerning articles 17 and 18 of the Protocol, Hellas and its competent authorities have concluded a number of agreements on combating illegal immigration. Hellas is not a place of origin but destination place or a migrant transit and therefore has signed relevant conventions and cooperates with several countries, notably neighboring in readmission and return issues (Note 7).

Migrants return issues are regulated by special conventions with prejudice of the relative arrangements for refugees and political asylum. In this case are implemented with prejudice to the provisions relating to the victims protection and assistance, the provisions for aliens deportation who violated the provisions of the law (articles 76 and next of the law. 3386/2005) and entered illegally in Hellas.

With articles 19-20 are regulated items like «saving clause», «settlement of disputes», «signature, ratification, acceptance, approval and accession», «entry into force», «amendment», «denunciation» and «depositary and languages».

About the reservation provided in article 20, paragraph 3 of the Protocol (settlement of disputes) concerning the containing of paragraph 2 «Any dispute between two or more States Parties concerning the interpretation or application of this Protocol that cannot be settled through negotiation within a reasonable time shall, at the request of one of those States Parties, be submitted to arbitration. If, six months after the date of the request for arbitration, those States Parties are unable to agree on the organization of the arbitration, any one of those States Parties may refer the dispute to the International

Court of Justice by request in accordance with the Statute of the Court» is not a known process in the Hellenic legal order. The Hellenic State made use of paragraph 3 of article 20, and indicates that is not bounded by paragraph 2 of this article.

3. The situation at the sea border between Hellas and Turkey during the period 2006-2012

The phenomenon of illegal immigration which is a problem for the most MS is strongly remarked in Hellas, given its geographical location between two continents, the peculiarity of its borders and the proximity of the Turkey (Note 8), making Hellas the focal point for migrants smuggling. Therefore is imperative need for effective sea borders surveillance.

The most important role in guarding the Hellenic but also European sea borders plays the HCG (Note 9), the Hellenic institutional competent authority for policing the sea space in Hellas. The HCG is called with its executives, the equipment and the means having at its disposal to implement both national and European policies that have been developed and are deployed concerning the phenomenon of illegal immigration. But the work is required to implement is very difficult, due to the characteristics of the Hellenic geopolitical reality as mentioned before (Note 10) (Maps 1, 3 and 4 about here).

Hellas due to its strategic position it's Law Enforcement Agencies (LEAs) and more specifically HP and HCG face on a daily basis dozens of migrants smuggling incidents, mainly from its southern and eastern sea borders. Many of these incidents are evolved in search and rescue operations while most illegal migrants after advice provided by the facilitators when they perceive HCG floating patrol boats usually sink the inflatable rarer boats carrying them or jump from other boats in the sea in order to be treated as individuals that they need rescue (Note 11). Thus from a point and beyond operations are characterized not as deterrents but as search and rescue.

During the period 2010 to July 2012 was remarked a shifting to flows from sea to land borders in comparison with the situation in the past (Figures 1 and 2 about here). This is due to the following reasons:

A.- The systematic surveillance of sea borders within the framework of "Poseidon" (Maps 3 and 4 about here).

B.-In penalties toughening which are imposed on facilitators of illegal migrants in accordance with article 48 of law 3689/2009.

C.- The definition of Dikeliou port in Turkey as a readmission port.

D.- The Liberal policy that was followed by the Turkey (Visa) and the extension of Turkish Airlines in Africa.

E.-The accessibility of land borders in relation to sea borders.

From August 2012 until today there is remarked a shifting of migratory flows from the land borders between Hellas and Turkey to the sea borders between the two countries. This is due to the following reasons:

A.-The strengthen thing of the surveillance measures at the land borders with the assistance of forces available of FRONTEX and the construction of the fence (Note 12).

B.-The deterrent role played by the reception migrants' centers at the border.

C.- The deterioration of the situation in Syria.

D.- The continuous influx of aliens in Turkey.

E.- The inability of aliens staying for a long time on the islands of the Eastern Aegean.

F- The fact that relative Protocol on immigrants' readmission is not implemented by Turkey.

Effects of the above are the following:

A.- Large concentration of immigrants on Turkey coast.

B.- The reactivation of organized criminal networks for facilitating migrants to the Hellenic islands closest to the Turkish coastline, namely Simi, Agathonisi, Farmakonisi, Samos and Lesvos.

C.- Incidents escalating, the majority of which turn into search and rescue incidents.

The response measures taken by the HCG in order to be combated the escalating flows at Eastern Aegean islands are:

A.- Intensified of sea areas and coastline surveillance- patrol.

B.- Strengthening port police authorities at the border with patrol boats and helicopters.

C.- Intensifying cooperation with the HP for aliens identification – debriefing.

D.-A request for assistance was sent to FRONTEX.

E.- Extension of operation «Poseidon-sea borders» by FRONTEX and reinforcement with additional operational resources and experts of EU MS.

F.-Actions to the Turkish Coast Guard with purpose to be prevented the illegal entry of migrants from Turkey.

Z.- Cooperation interdisciplinary group establishment between HCG, HP, Hellenic National Defense General Staff, Navy and Hellenic Intelligence Service.

Estimation concerning the evolution of this phenomenon is the following:

A.-Instability prolonging in Pakistan, Iraq, Afghanistan and in the countries at Middle East and at North Africa.

B.- Maintenance of high migratory pressures in the Hellenic east sea and land frontiers.

C.-Increase of incidents concerning illegal exit from the shores of Western Hellas and from the area of Peloponnese (Map 4 and Figures 1 and 2 about here).

Conclusion

Organized crime and more specifically the migrants smuggling dimension, preoccupied and occupies the whole of the international community, as it constitutes one of the most serious threats facing modern States, both in national and international level as members of the international community.

The analysis revealed that most of the issues that had been raised by the Convention on the migrants smuggling have been covered by the Hellenic legal texts.

Undoubtedly the international police cooperation is the most important factor in combating illegal immigration, which is one of the most serious forms of criminal activity, trader people's hopes for a better future. For its combating have been established bilateral and multilateral agreements between States, new methods of investigations and international police cooperation.

Police cooperation had take all the necessary legal measures in order to combat the illegal immigration phenomenon, while the participation of LEAs with their executives in International and European organizations responsible for fighting shows its willingness to combat this phenomenon at the maximum extent possible.

Hellas must through the proper foreign policy, to seek the combating of illegal immigration general problem or in bilateral-interstate level, or mainly within international bodies (UN, EU, OSCE). It is obvious that great importance for combating of this specific

phenomenon plays the lobbying to Turkey by EU in order to be implemented the agreement that has been signed between Hellas and Turkey on the readmission of illegal immigrants entering to EU via Hellas.

At European level, Hellas should continue, as does to participate actively in European organizations and initiatives (Frontex, Europol, Eurojust) in order to reclaim in the best way the possibilities provided for more effective guarding and surveillance of sea borders with the help of European partners, either by absorption of Community funds or either by seeking to make the MS communicants and co managers of the problem facing at its east sea borders with migrants smuggling, something which is achieved by the presence of border guards from other MS in Hellas via FRONTEX. These border guards become partakers of the situation on the Hellenic border with Turkey, carrying their experiences in their countries. In addition their presence confirms the Hellenic borders as EU borders with easily understandable consequences vis-à-vis Hellenic relations with Turkey.

At the same time must be continued the effort of sea borders armoring at national level, in the context of a more comprehensive combating of this phenomenon as well as the fight against trafficking and other unlawful actions and activities in close co-operation with the Armed Forces and with the HP. The safekeeping of sea borders concerns over migrants smuggling, maritime terrorism, critical infrastructure protection, mass destruction weapons, organized crime, etc. namely illegal activities affecting national security.

Effective control of sea borders is a challenge and requires a multi-layered effort both at European level and at national level while the two policies need to act complementarily.

MS cannot give solutions by themselves to this global phenomenon. International initiatives are needed which will in any case take under consideration the legal texts for the protection of human rights.

The design of effective migration policies in time in conjunction with safe guard – border surveillance might help the reduce of illegal migrants number trying to enter in the EU but as the phenomenon is ought to socio-economic causes, EU must first and foremost to combat this at the region in which is born. Financial support, infrastructure building, expertise provision etc., or else the active economic EU foreign policy is possible to yield more results in contrast with the intensity of surveillance measures and guarding the sea borders that in final analysis are police measures.

Proposed actions for combating illegal immigration:

a.- Keeping of surveillance and operational readiness at a high level.

b.- Effectively protection of EU Southeast sea borders jointly and in cooperation with the rest of the MS and the relevant European organizations.

c.- Operation of reception and accommodation centers at the Eastern Aegean islands.

d.- Implementation of Readmission Protocol with the Turkey.

e.- Further strengthen of interdisciplinary cooperation between the Hellenic LEAs particularly with respect on identifying smaller vessels and the dismantling of organized criminal networks smuggling migrants.

f.- Implementation of the National Border Monitoring and Control Coordination Center (NBMCC) [Law 4058/2012 (A´ 63)] in order to be coordinated the cooperation of the competent national authorities at the external border surveillance and the upgrade of operational cooperation with the rest of the MS and the FRONTEX.

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Korontzis, T. (2012) ΄΄c΄΄. *The European policies for illegal immigration via EUROPOL and FRONTEX in Hellas.* Announcement which took place in the Scientific International Conference titled «Comparing and contrasting "Europeanization": concepts and experiences» which was held on 14-16 May 2012 in Athens, by the Institute of International Economic Relations   (IIER/IDOS)]   and   is   posted   on   the   website http://www.idec.gr/iier/new/Europeanization%20Papers%20PDF/KORONTZIS%20MAY%202012.pdf.

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Notes
Note 1. Korontzis, T. (2012). The meaning of organized crime in the Hellenic and in the International legal order, *Limeniki Rota*, issue 10, July – August- September 2012, p.p. 27-29 (in Hellenic).
Note 2. For this law see the relative report of the Hellenic Ombudsman (Independent Authority), «Remarks to Interior Minister on the law elaborated draft concerning the entry, residence and social integration of third country nationals in the Hellenic territory» available on   the   web   pages   http://www.synigoros.gr/?i=foreigner.el.paremvaseis-stp.49885   and http://www.synigoros.gr/resources/meta_paremv-02.pdf (in Hellenic).
Note 3. Korontzis, T. (2010). *Maritime borders surveillance – New European Perspectives*. Summary of the aforementioned Atomic Thesis which was elaborated in the Hellenic National Defense College (SETHA) in the academic year 2009-2010 was posted on the website of the above mentioned College http://www.setha.mil.gr/main.php?action=diatribes on 28/04/2010 (in Hellenic).
Note 4. Kiantou – Pampouki A. (1989). *Maritime law*, Sakkoulas, Thesaloniki, 1989 (in Hellenic). p.25.
Note 5. Korontzis, T. (2012). *The European policies for illegal immigration via EUROPOL and FRONTEX in Hellas.* Announcement which took place in the Scientific International

Conference titled «Comparing and contrasting "Europeanization": concepts and experiences» which was held on 14-16 May 2012 in Athens, by the Institute of International Economic Relations (IIER/IDOS)], is posted on the website on the website http://www.idec.gr/iier/new/Europeanization%20Papers%20PDF/KORONTZIS%20MAY%202012.pdf.

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Note 7. See laws 2926/2001 (A´ 139), 3030/2002 (A´ 163), 3540/2007 (A´ 46), N. 3543/2007 (A´ 60) [in Hellenic].

Note 8. For Modus Operandi see Korontzis, T. (2012). *The contribution of EUROPOL and FRONTEX in combating the phenomenon of illegal immigration in Hellas* Review of European Studies, Vol. 4, issue 1, March. 2012, p.p. 188-202, (doi:10.5539/res.v4n1p188).

Note 9. Korontzis, T. (2012). *The role of the Hellenic Coast Guard in the Hellenic internal security and in combating the phenomenon of organized crime*, International Review of Social Sciences and Humanities, Vol. 3, issue 1, April 2012, p.p. 210-227.

Note 10. Korontzis, T. (2012). *The contribution of EUROPOL and FRONTEX in combating the phenomenon of illegal immigration in Hellas,* op.cit..

Note 11. Korontzis, T. (2012). *The competence of Hellas on search and rescue items in the Aegean area*, Review of European Studies, Vol. 4, issue 2, June 2012, p.p. 89-110, (doi:10.5539/res.v4n2p89).
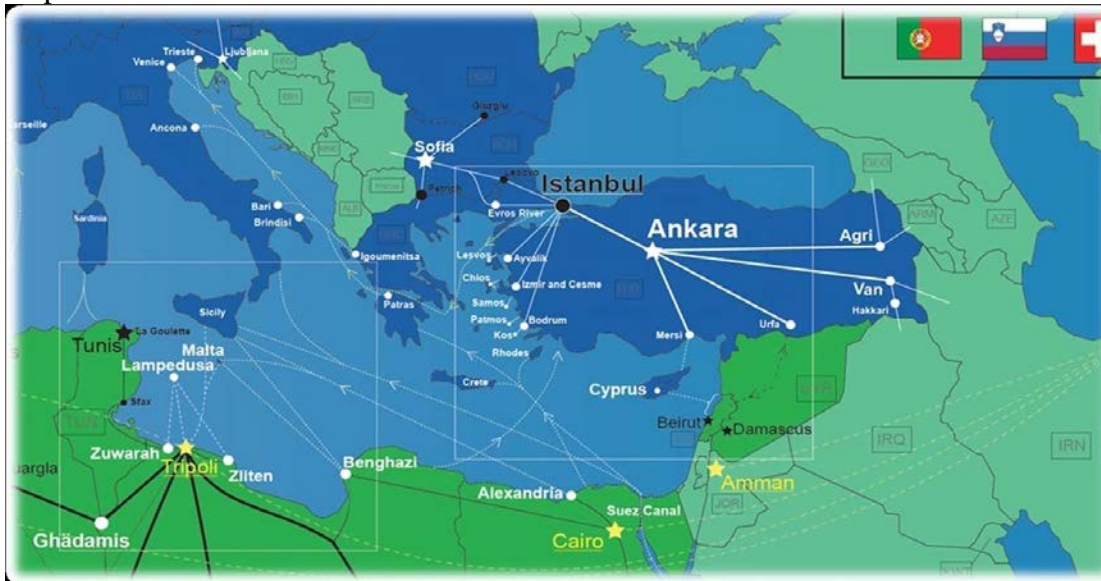
Note 12. Korontzis, T. (2012). *The European policies for illegal immigration via EUROPOL and FRONTEX in Hellas,* op.cit..

MAPS

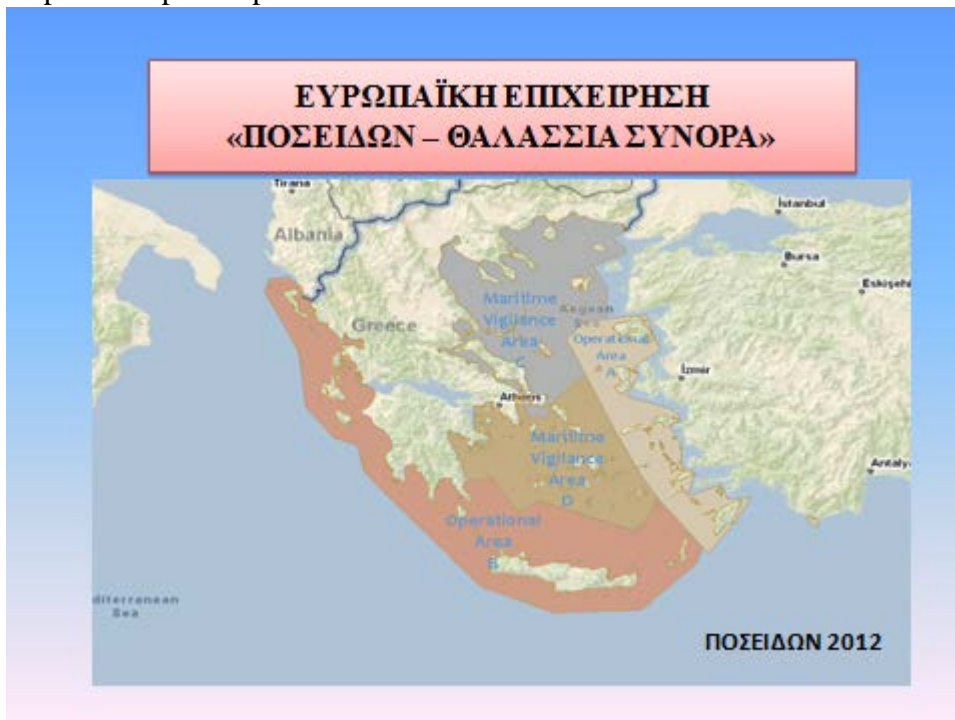Map 1: Models of illegal migration flows to Europe

Source: Hellenic Coast Guard Headquarter/ Directorate of Sea Border Protection, 01/2013
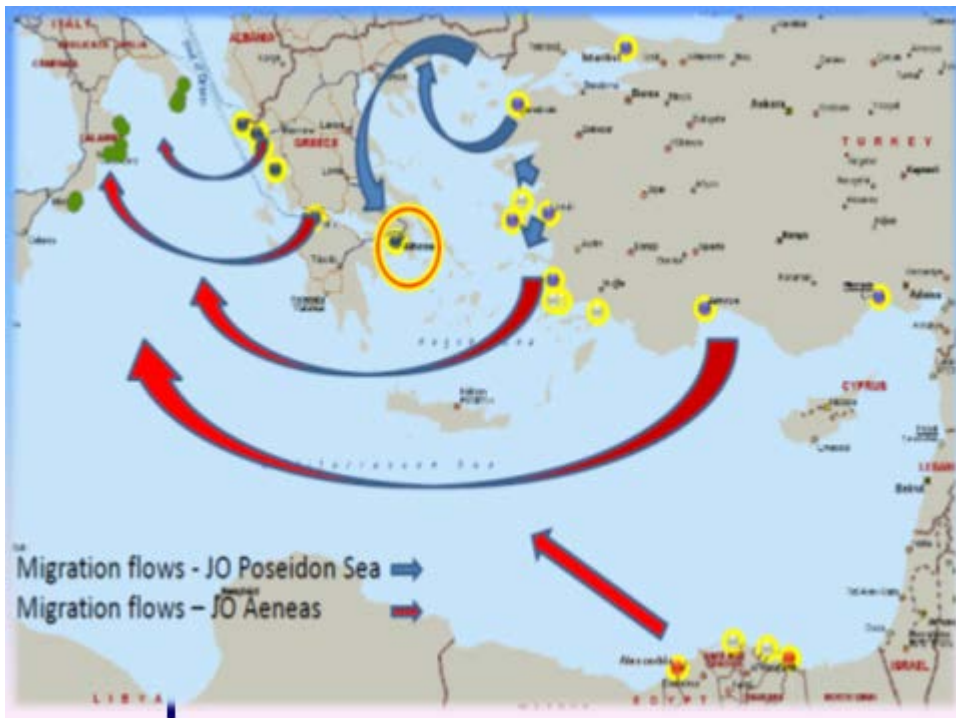Map 2: Situation overview

Source: Hellenic Coast Guard Headquarter/ Directorate of Sea Border Protection, 01/2013

Map 3: European Operation «Poseidon – Sea Borders»/ POSEIDON 2012

Source: Hellenic Coast Guard Headquarter/ Directorate of Sea Border Protection, 01/2013

Map 4: Migration flows –JO Poseidon Sea
        Migration flows –JO Aeneas

Source: Hellenic Coast Guard Headquarter/ Directorate of Sea Border Protection, 01/2013

FIGURES
Figure 1: Immigrants arrests in each area in the period 2006-2011

Source: Hellenic Coast Guard Headquarter/ Directorate of Sea Border Protection, 01/2013

(Είσοδος= Entry, Δυτική Ελλάδα=West Hellas, Ανατολικό Αιγαίο= East Aegean)
Figure 2: Facilitators arrests in each area in the period 2006-2011

Source: Hellenic Coast Guard Headquarter/ Directorate of Sea Border Protection, 01/2013
(Είσοδος= Entry, Δυτική Ελλάδα= West Hellas, Ανατολικό Αιγαίο= East Aegean)

Figure 3: August 2012- Flows shift from land to sea borders
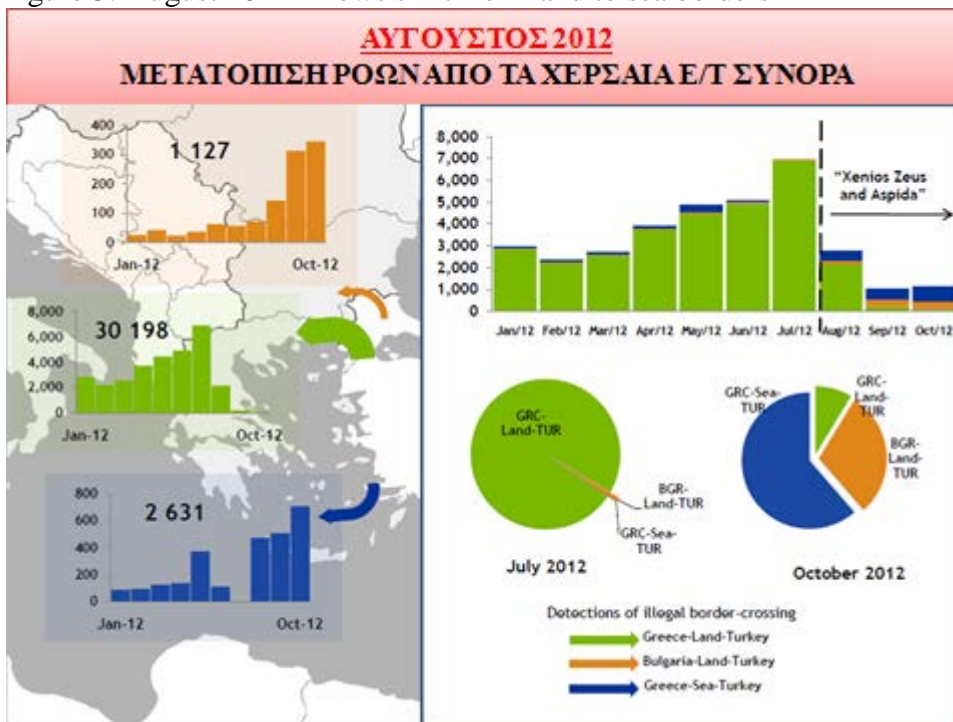
Source: Hellenic Coast Guard Headquarter/ Directorate of Sea Border Protection, 01/2013

Figure 4: Nationalities of migrants entering in the Hellenic territory from the East Sea
Borders in the period 01.01.- 14.12.2012
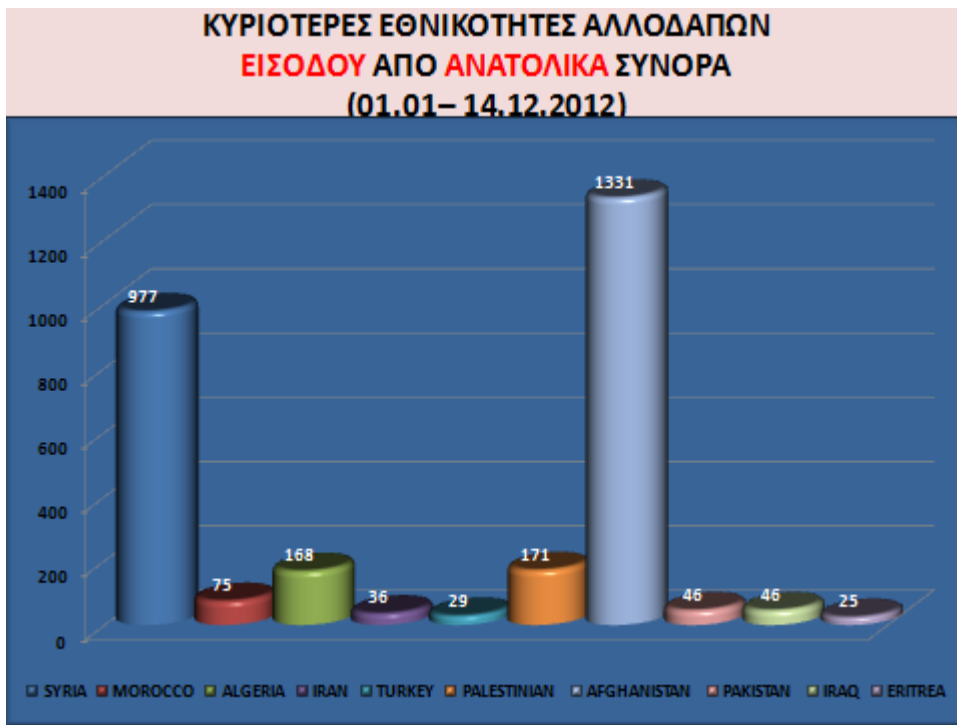
Source: Hellenic Coast Guard Headquarter/ Directorate of Sea Border Protection, 01/2013

THE IMPACT OF THE POLITICAL CULTURE IN POLITICAL SYSTEM AND RULE OF LAW: ALBANIA CASE

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Abstract

This study will be focused in analyzing on how political culture can impact in the rule of law and political system in Albania. Political system is defined as the interaction between political institutions and political culture. While, the constitution of the legal state is a common responsibility of the citizens, civil society and state institutions. All these three concepts, political culture, political system and rule of law are strongly connected among them; this way political culture will impact in the performance of independent judiciary and political institutions. In case of Albania, there's a different situation; political culture, yes it can affect but the question is if it improves the performance of these institutions or worsen that.

Albanian political culture must be perceived within the context of the historical background, because such periods of time like communist regime, problematic transition (accompanied with civil war on 1997) will have the impact in political and cultural education of the citizen. That will contribute to deepening of subordinated point of view and approaches, subordinated to authorities, non-active civil society, corruption expansion in all governmental structures and so leading to harm of liberal democracy.

To this background and political culture, many issues addressed to accountability of political elites in control and responsiveness to the voters will be appeared. Legal accountability, which implicates governing according to the law, equality in the face of law, will be in danger if changes don't get started with public opinion, education of democratic values, independent judiciary, power division and corruption extinction.

Keywords: Political culture, rule of law, political system, civil society.

Introduction

Initiatives to address the interdependence of political culture and the political system of the rule of law, political condition of citizen formation, and sensitize it to notions of democratic system. The study will address two important aspects; in the first part will be an analysis of the political system closely related to the functioning of the rule of law, while in the second, the political culture of the Albanian society in different periods. The political system will consist of constitutional political institutions, these institutions in Albania are: president, parliament, government, local government, judiciary, constitutional court, the political parties. Each of the institutions will be briefly analyzed in order to understand how the political system is organized in Albania. Understanding the needs of these institutions, the necessary legal framework, the constitution, and other normative acts on the basis of which these institutions function, explain the concept of the rule of law as the basis of a democratic. The second part will be dedicated to understanding the political culture, an analysis conducted in three different systems. Treatment of political culture in Albania at the time of the communist regime, in the first period of democratic transition following the collapse of the communist regime, and in the second decade of the Albanian society claims the existence of a genuine democratic system. The obvious contradiction of the political backgrounds in a single

nation within a century dedicated to changing the political system and regime, which on the basis of these systems and political culture, civil society, public opinion and the operation will indicate whether or not the state law.

The political system and the rule of law

The existence of the rule of law is the foundation of a democratic system, freedom and respect for human rights, development of a society, welfare and public peace. The existence of a state of law is conditioned by constitutional norms, laws that enable the proper functioning of all decision makers, public administration and justice system functioning. The rule of law is a principle welcomed in the Albanian state, this notion expressed pride in the preamble of the Constitution of the Republic of Albania *"We, the people of Albania,........with determination to build a social and democratic state based on the rule of law, and to guarantee the fundamental human rights and freedoms,......"*.[175] Albanian state contains the legal framework necessary to master a state of law. Along the Albanian legislation The Republic of Albania applies international law that is binding upon it, Art 5.

Biggest challenge to the rule of law constitutes its implementation in practice, a fact which is problematic in the case of Albania. Numerous factors hamper the full existence of a state of law such as: its applicability to slack, problems in the independence of the judiciary, and the adoption of laws by a majority in parliament. The importance of the rule of law, as the basis of any democratic state, is the foundation of the EU, who is longing for his respect as the basis of the conditions for membership. The concept of the rule of law is directly related to the political system, the development of political institutions on the basis of justice.

The political system is studied by David Easton, whom defines five elements: inputs, outputs, gate keepers, outcome, and feedback that make up the political system. According to Fred H. Will Hoit ("Power and Government"), the political system is comprised of several key features such as the existence of the constitution, which essentially prohibits government abuses its power, separation of the three powers, representative government responsive and accountable the existence of electoral democracy, pluralism party interest groups, etc. peaceful changes. As we come to the conclusion that the political system is a union government institution who aims to implement the policies and growth rates for the general welfare of the people, maintain order and conduct their activities on the basis of the Basic Law constitution.

Separation of powers is defined in Section 7 of the Constitution of the Republic of Albania, according to the text "the system of government in the Republic of Albania is based on the separation and balancing of legislative, executive and judicial." All three of the above links are present in all systems of government, democratic and in those totalitarian or authoritarian. The problem lies in the nature of their operation, which is different, in principle, they are defined in the constitutions of the various systems in three separate respective powers; they practically function as separate institutions makes the difference between democratic and totalitarian systems. The branches of government in the democracy execute their decisions separately from one another, in communism three separate branches of government are under the direction of a single body.

Separation of powers determines the level of governance which is an essential agency that formulates and implements actions and functions under a particular nation-state.[176] Governance relates to the political system through two interdependent components: 1. Formal structures, official, consisting of complex institutions and government agencies, as well as sites of constitutional laws and governance procedures. 2. Political community, which means community of people linked together in so-called "political division of labor" where

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[175] Kushtetuta e Republikës së Shqipërisë 1998. Tiranë 2010.
[176] Filo, Llambro. Sistemet politike bashkëkohore. Tiranë: ideart. 2008. Fq, 17

segregated political authorities or officials in government positions, citizens in general, who are integrated in performing activities, such as political organizations, or as public employees, voters, taxpayers, etc.[177]

The political system in Albania will consist of political institutions or otherwise called public institutions, the nation, as the totality of governance structures. Main constitutional institutions in Albania are the president of the republic, parliament, government, local government, judiciary, constitutional court, and the political parties. The Constitution of the Republic of Albania Art. 1 of Albania declares its parliamentary republic.

The President of the Republic is the Head of State and represents the unity of the people, Article 86. The role of the president in our country is to be the neutral body; it is positioned as an arbitrator in resolving institutional crises such as in disputes between parliament and government, and no executive powers. Powers of the President are defined in Article 92 of the Constitution, which among other things specifies that addresses messages to the Assembly; exercises the right of pardon according to the law; grants Albanian citizenship and permits it to be given up according to the law; gives decorations and titles of honor according to the law; accords the highest military ranks according to the law; on the proposal of the Prime Minister, he appoints and withdraws plenipotentiary representatives of the Republic of Albania to other states and international organizations; accepts letters of credentials and the withdrawal of diplomatic representatives of other states and international organizations accredited to the Republic of Albania; signs international agreements according to the law; etc.[178] Presidents are elected by parliament for a five-year term with the right to be chosen only once, they can however enter the voting upmost 5 times, Article 87, paragraph 1.

The Albanian parliament is called the Assembly of Albania, Albania's government owns the legislature assembly, which structurally is unicameral, and is elected for a four year term. The Assembly consists of 140 deputies. One-hundred deputies are elected directly in single-member electoral zones with an approximate number of voters. Forty deputies are elected from the multi-name lists of parties or party coalitions according to their respective order, Article 64, paragraph 1. Assembly is the exponents of popular sovereignty, and based on political pluralism in its composition. In the legislative process the right to propose laws Council of Ministers, every deputy, and 20 thousand voters.[179] A draft law is voted on three times: in principle, article by article, and in its entirety.[180] President of the Republic promulgates the approved law within 20 days from its presentation.[181] The law goes into effect with the passage of not less than 15 days from its publication in the Official Journal.[182]

Executive consists of a central or local bodies, on top of which stands the government as a constitutional body. Albanian Government consists of the prime minister, deputy prime minister and ministers all constitutional bodies.[183] Prime Minister as head of government has the following powers: represents the Council of Ministers and chairs its meetings; outlines and presents the principal directions of general state policy and is responsible for them; assures the implementation of legislation and policies approved by the Council of Ministers; coordinates and supervises the work of the members of the Council of Minister and other institutions of the central state administration; performs other duties prescribed in the Constitution and the laws.[184] The Prime Minister resolves disagreements between ministers article 102, paragraph 2.

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[177] Ibid
[178] Kushtetuta e Republikës së Shqipërisë 1998. Tiranë 2010. Fq. 45. Neni 92.
[179] Kushtetuta e Republikës së Shqipërisë 1998. Tiranë 2010. Fq. 38. neni 81, pika 1
[180] Kushtetuta e Republikës së Shqipërisë 1998. Tiranë 2010. Fq. 39, neni 83, pika 1
[181] Kushtetuta e Republikës së Shqipërisë 1998. Tiranë 2010. Fq. 40, neni 84, pika 1
[182] Kushtetuta e Republikës së Shqipërisë 1998. Tiranë 2010. Fq. 40, neni 84, pika 3
[183] Anastasi, Aurela. E drejta kushtetuese. Tiranë: Pegi. 2004. Fq. 164.
[184] Kushtetuta e Republikës së Shqipërisë 1998. Tiranë 2010. Fq. 48, neni 102, pika 1, a, b, c, ç, d, 2.

Local governments will be administered by municipalities in villages, towns and in the counties, to exercise their duties of self-government, based on the principle of decentralization and the constitutional principle of local autonomy.

Judicial power is exercised by the Supreme Court and Courts of Appeal, Courts of First Instance. Albanian justice system consists of Courts of First Instance, Courts of Appeal and Supreme Court. Each level addresses a civil, criminal, commercial and administrative trial[185] facility recognized by the three jurisdictions: civil jurisdiction, criminal and administrative.[186] Albanian justice system includes 346 judges who are scattered in 29 Courts, 6 the Court of Appeal, 1st Military Court of Appeal and the High Court. [187]The Constitution of the Republic of Albania prohibits the creation of exceptional courts. In Article 135, paragraph 2, it states: "Parliament may by law establish special court for the field, but in no circumstance a Court of Emergency". This is reflected in the third paragraph of Article 11 of Law 8436, dated 28.12.1998 "On the Organization of the Judiciary in the Republic of Albania". [188]

The Constitutional Court is subject only to the Constitution; it is defined in Article 124, paragraph 2. Likewise Constitutional Court of the Republic of Albania is not part of the ordinary judicial system but it is a special jurisdiction, the charge to control the constitutionality of laws and acts other normative.[189] The task of ensuring respect for the Constitution and the activity of public power is imposed in Constitutional Court. It is the last instance loaded with control over the acts issued by state bodies focusing on the terms of their compliance with constitutional provisions. Constitutional justice means that the institutions are responsible for the protection of the legal order of a nation.[190] It is otherwise known by the term "Guardian of the Constitution". For this reason, the Constitutional Court's controls the legislative process that's regarded as the culmination of the rule of law. The tendency to put the constitutional control of the legislature, always respecting its sovereignty lawmaker, has become a distinctive feature in almost all democratic regimes in the world today.[191] Powers of the Constitutional Court are provided for in Article 131 of the Constitution.

Political parties are an organized group of people with the mindset of wanting to gain power by elections governing electoral or other means. "Political party" is a party registered in accordance with law no. 8580, dated 17.02.2000 "On political parties". Article 9 of the Constitution stipulates that political parties are created freely. Their organization shall conform to democratic principles. Political parties and other organizations, programs and activities of which are based on totalitarian methods, which incite and support racial, religious, regional or ethnic, to use violence to take power or influence state policy, as well as those with secret character are prohibited by law. Financial resources of the parties and their expenses are always made public." Albanian model has similarities to the Croatian constitutional model. In Croatia, the Constitution devotes a special section of political parties.[192]

The main political institutions explained above, are constructed on the basis of a democratic system that recognizes, respects and requires the rule of law. For proper

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[185] Gjykatat e Republikës së Shqipërisë. Marrë nga, http://www.gjykata.gov.al parë për herë të fundit më [12 prill 2014]

[186] Anastasi, Aurela. E drejta kushtetuese. Tiranë: Pegi. 2004. Fq. 164.

[187] Gjykatat e Republikës së Shqipërisë. Marrë nga, http://www.gjykata.gov.al parë për herë të fundit më [12 prill 2014]

[188] Ibid

[189] Ibid

[190] Gjykatat kushtetuese. Marrë nga, http://www.gjk.gov.al parë për herë të fundit më [12 prill 2014]

[191] Ibid

[192] Krasniq, Afrim. Evropa juglindore në periudhën paskomuniste: (Analizë e sistemeve partiake dhe qeverisëse). http://www.doktoratura.unitir.edu.al . fq 65.

functioning of these institutions in the service of society, besides their existence is necessary arbitrariness, the integrity of persons employed in these institutions. Respect for the rule of law will be influenced by the actors who will have a background dependent on culture, tradition, and intellectual preparation, professional. Analysis of political culture will give us further explanation in the case of Albanian society.

Political Culture

Various authors have given different conceptions of political culture, familiarity with these conceptions background provides us the right to adjust, handle and recognize the political culture in society. Comparative authors stop the government in handling the political culture of the population measure as an important factor in determining the political system and its functioning. Political culture is a set of views, attitudes, and behaviors to the political system as a whole.[193] At the same time, it carries a historical development process, which is transmitted from one generation to another, the political culture also appears in the form of ideals and values.[194] One of these theorists is that Lawrence Mayer political culture has ranked as one of the main factors that influence the formation of political identity of the countries. The concept of political culture refers predisposing characteristics, the internal situation of individuals, whose predispositions react to certain stimuli in a certain way, one thing which modern terminology would not accept simply because they would consider subjective.[195]

Political culture includes the following properties: attitudes towards authority, beliefs or conceptions about the truth, a logical or pragmatic method for making decisions, feelings of sympathy, cooling, rejection, trust or confidence, knowledge and information, and basic values.[196] Attitudes toward authority can be explained as submissive, reverent or egalitarian.[197] Albanian society is faced with challenges in the political culture of these changes that are dedicated forms of governance. Here you will understand the elements of the civil society, public opinion, or political culture which will be closely linked to the former regime. Albania is a country which has known communist regime, long and challenging period of transition, and a democratic system, although unconsolidated. I originally referred to the political culture that existed in Albania at the time of the communist regime.

The communist regime was set in 1945 and imposed a reign of terror that lasted 45 years. Building political system, regime form was that of a government in the hands of a dictator, who moved exceptionally wild for society, destroyed private property, traditions, culture, and religion canons, and widely used in executions for those who were against the regime.

The wealthy class took the land and spread evenly with the villagers, and they destroyed oldest institution of traditional and customary canon, the strong role of men in society. Also, the government still widely used persecution against individuals in politics but also among ordinary individuals who expressed dissatisfaction with the system, they fired, imprisoned in forced labor camps or executed. Features of political culture in such a system will be those absolute lack of human rights, active civil society which did not exist, citizen subordinate, peers in the political system but so forced and imposed, this shows participation in elections fictitious which was 100%, with an absolute victory of the Labor Party. The societal attitudes toward authority were authoritarian in the sense that evidenced the extraordinary ability of elite to govern and duties of others are blind to obedience.

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[193] Filo, Llambro. Sistemet politike bashkëkohore. Tiranë: ideart. 2008. Fq, 67.

[194] Ibid

[195] Majer, Lawrence C. Politikat krahasuese. Tiranë: Ora. 2003. Fq,14-16.

[196] Ibid

[197] Ibid

In this category the rule, the relationship between the three concepts taken in the analysis, political culture, political system and the rule of law are non-existent. For political system, totalitarian, political influences and culture and suppressing it and given effect in the non-existence of the rule of law or the rule of law concept which does not exist here.

The communist regime ➡ Submissive political culture ➡ Rule of law does not exist

The political culture that has existed in Albania after the 90's and established communist regime falls democratic system, period coupled with a long and problematic transition, mention here of the civil war held in Albania in 1997. According to the author Vajdernfeld, cultures of the new political post-communist societies are a product of processes, which are held by at least three dimensions:
• The universal dimension, where the political culture and phenomena associated with symptoms typical for each character universal twist.
In the regional dimension, with its integral element changes, characteristic of those societies, which are in the path from communism to democratic rule and a market economy.
• In particular dimension of the road, where history, geopolitical conditions and national structures of post totalitarian states affect what challenges before which these countries are to have a differentiated character and a different radius.[198]
Historically cultures of the countries of the western Balkans is perceived as a political culture introduced in subordinate category, which means the unquestioned obedience unlimited action against those who are in positions of authority. To the Western Balkan countries, Albania appears to be depending on the need and desire for protection and safety to those who are in power. Freedom is perceived negatively, as something that enables individuals to engage in risky behavior, unlike the west where a culture or tradition flourished humanist. As a result of the communist regime that existed in these countries for a long period of time to the citizens of the Western Balkans existed feeling that equality and liberty were negative concepts that the average citizen was totally conservative and opponent of change.
Values and modernity with which to face the Western Balkan countries in terms of creation of their states and secession from the communist regime they'll look at will change significantly. When Ronald Ingëllharti guided by values post materialist says that while people meet their material needs, modernizing forces them to focus less on economic issues and more on values such as equality and self-expression, and these values are those that facilitate the process of democratization that was the main goal for the Balkan countries Political culture more generally influenced by the past experiences of a nation. This shows that the political culture in these countries is very different Western European countries which in turn are similar to U.S. culture. But the political culture itself is an obstacle to good governance in a time of crisis as public opinion and citizen feedback are very important to bring itself and governments to exercise their role as accountable.

Democracy in Transition ➡ Political culture of juvenile ➡ Rule of law problematic

When the political system is a democracy or newly consolidated, the past is present, keeping the uninformed and inactive citizens, civil society in this way is inactive, still falls upon the citizens to make decisions. Life just is familiar with concepts such as the rule of law, human rights, equality, freedom, rights, and their use in full is due lukewarm disinformation and learning such concepts. Consequently the existence of a state law adopted by Westerners in its full form, but the manner of its implementation is weak, will prevail element such as

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[198] Weidenfeld, Werner. Demokracia dhe ekonomia e tregut në Evropën Lindore. Tiranë: Fondacioni Sorros. 1999. Fq, 33.

corruption, no meritocracy, social relationships, tribal employment. Consequently, the rule of law is not immune.

It is very difficult to determine when the Albanian state has completed the transition and establish democracy, such a separation is impossible. However let us refer recent years, at least the last 10 -year-old, we rotate peaceful political, elections free and fair, transparency in governance, in terms of citizen access to information, as a result of modernization and development impact the effects of globalization. Respect for human rights, increase awareness in society against the continuation of higher studies, what increases and cultural level. Creating NGO, active civil society, where the sovereign is considered in its requirements, from its representatives in key issues for the future of the country.

Society's attitudes toward authority will be respectful, accepting the representation of some of the most qualified people to fill leadership roles who have an obligation to govern in the public interest and should be held accountable for the results of government them. Individuals are more informed, more responsible and more clear what kind of demand. Albanian state relations problem in the rule of law, political system and political culture, but the problem, or a participatory political culture have also industrialized countries which are shaped like democracy much before the Albanian people to be recognized with these notions. Let us refer to a study conducted by Almond and Verba political culture in five nations. They distinguish three types of political culture: local (Parochial Political Culture) of the subject (Subject Political Culture) and peers (Civic Political Culture) and the result was that only Britain and the USA had a participatory democracy, Germany and Mexico subject to local or parochial Italy.[199] For as long as powerful countries have been in such a situation, the Albanian nation, which has a short-lived democracy, one has to understand its political culture or participation in governance.

Unconsolidated Democracy   ➡   Political culture   ➡   Rule of law

Conclusion

Building the rule of law has become accomplished if coordination between state institutions that makes up the political system that may be a communist or democratic political culture. The relationship between the three concepts is inevitable and none of the concepts can exist without the presence of two other concepts in a democratic system. Based on research conducted I will turn my answer to the question raised in the beginning of the paper, if the political culture affects the rule of law and the political system? If political culture is in Albania increases the performance of state institutions or to reduce them? The influence exerted by the political culture, active civil society, public opinion, etc. , obviously that affects the consolidation of a democratic system , the existence of institutions serving the welfare of society and the rule of law , recognition and respect of freedoms and human rights .

Changes along the Albanian state structures and the way the state has changed the perception of the society's participation in politics and demand their representative's account. It will only stop the government in the recent years, in continuing efforts of the people to establish a liberal democracy. But achieving a consolidated democracy will face numerous factors such as the historical past, remnants of the mentality of society, and very problematic transition prolonged consolidation of functional institutions. Civil society in the first steps of its formation, not ripe and mature, a public opinion which has lost hope in a bright future and credibility to elites, to a corporation subject to the authority, which does not require the its

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[199] Almond, Gabriel; Verba, Sidney. The Civic Culture: Political Attitudes and Democracy in Five Nations. Princeton, NJ: Princeton UP, 1963.

right on vital issues (infrastructure, potable water, sanitation, electricity, health, education etc.), or minimum for other societies of the west.

This aspect of the formation of society, and these beliefs are reinforced even more by the deficiencies of organization, operation, reliability of state institutions. Their direction towards tribal and social relations, where meritocracy rarely recognized the large scale occurrence of corruption. State institutions are damaged and don't function completely, influenced by the political culture, because if citizens would be more aware of the role , the importance it has as sovereign and accountability of representatives would be full. If the political class would be aware of the responsibility it has towards its sovereign then the constitution, laws, and the whole legal system would take tremendous value, value that it really has, thus building a nation of law and so build a democratic system by joining the European Union.

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INDIA'S HOSTILITY TO INTERNATIONALIZE CRIMINAL JUSTICE- CALCULATIVE STRATEGY OR PREJUDICED RELUCTANCE?

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Abstract

On May 31, 2013 United Nations urged India to institute a commission of inquiry-serving as a transnational justice mechanism, into extra-judicial killings in its North-eastern states. Urging India to repeal the controversial Armed Forces Special Powers Act, 1958, United Nations also asked India to ensure that the legislation regarding the use of force by the armed forces provides for the respect of the principles of proportionality and necessity. Various reports have shown that the State violence in Kashmir and North Eastern States of India was institutionalized through a culture of institutional impunity to the state forces which perpetuate the state of human rights violations. India has not acceded to the Rome Statute. It abstained in the vote adopting the statute in 1998, saying it objected to the broad definition adopted of crimes against humanity, the right given to the Security Council to refer cases, delay investigations and bind non-State Parties, and the use of nuclear weapons or other weapons of mass destruction not being explicitly outlawed. Even though, India has ratified the Geneva Conventions, it has decided to overlook Common Article 3. In light of the above, this paper highlights why the emerging power India, abstains from joining the Rome Statute and the possibility of India being brought under the scanner of International Criminal Court.

Keywords: Rome Statute, Kashmir, United Nations, Geneva Conventions, International Criminal Court

Introduction

The Rome Statute for the establishment of an International Criminal Court (hereinafter "ICC") was voted in, in July 1998, by 120 states, seven states voted against it and 21, including India, abstained. The Indian delegate at the Diplomatic Conference stated in his official statement that, " We can understand the need for the International Criminal Court to step in when confronted by situations such as in former Yugoslavia or Rwanda, where national judicial structures had completely broken down. But the correct response to such exceptional situations is not that all nations must constantly prove the viability of their judicial structures or find these overridden by the ICC."

Years after the establishment of International Criminal Court, India has no indication of becoming a State Party to the Statute. The paper would start by discussing why India continues to stay out of the Rome Statute. A special reference would be made to Common Article 3 of the Geneva Conventions and a look would be made into the conflict- situations in Kashmir and North Eastern States of India. After a a cause –effect analysis of these situations, a conclusion would be drawn as to the viability of India's stand in the era of international law.

Main Text

Indian position on the Rome Statute

The establishment of the ICC came out of the need for an independent, permanent criminal court to deal with heinous crimes of international concern. India's decision to remain

out of ICC is not something of an aberrant nature. India has been hostile to the idea of internationalising criminal justice since long. Even when the International Military Tribunal for the Far East was established after the surrender of Japan at the end of Second World War, Dr. Radhabinod Pal, Judge from India gave a Dissenting Judgment .He refused to be bound by the charges brought against the defendants by the Prosecution. Consequently, Justice Pal declared the accused Japanese leaders innocent of all charges. Under the Charters of the Nuremberg and Tokyo Tribunals, radical changes were made in the definitions of international laws. These tribunals made definitions of new offenses and held individuals in power responsible for perpetrating such offenses. In his judgment, he made a critical and detailed study of the status of international law in the first half of the twentieth century and argued that international law could not be changed by mere *ipse dixit* (dogmatic pronouncement) of the authors of the Charter in question. This dissenting judgment of Justice Radhabinod Pal at the International Military Tribunal for the Far East is of unique importance in the history of international law as a new interpretation of contemporary (*i.e*. history of the pre-second World War era) history of international events.

At the time of the drafting of the Rome Statute, some of the fundamental objections given by Indian delegates in their opposition to the Court related to the perceived role of the United Nations Security Council and its referral power. The Rome Conference even evaded a vote on India's proposal to include the use of nuclear weapons as an ICC crime through a procedural 'no action' resolution. India eventually abstained in the vote on the Statutes, and has not taken any steps for its signature and ratification. The principal objections of India to the Rome Statute are that it: Made the ICC subordinate to the UN Security Council, and thus in effect to its permanent members, and their political interference, by providing it the power to refer cases to the ICC and the power to block ICC proceedings.

Provided the extraordinary power to the UN Security Council to bind non-States Parties to the ICC ; this violates a fundamental principle of the Vienna Convention on the Law of Treaties that no state can be forced to accede to a treaty or be bound by the provisions of a treaty it has not accepted.

Blurred the legal distinction between normative customary law and treaty obligations, particularly in respect of the definitions of crimes against humanity and their applicability to internal conflicts, placing countries in a position of being forced to acquiesce through the Rome Statutes to provisions of international treaties they have not yet accepted.

Permitted no reservations or opt-out provisions to enable countries to safeguard their interests if placed in the above situation.

Inappropriately vested wide competence and powers to initiate investigations and trigger jurisdiction of the ICC in the hands of an individual prosecutor.

Refused to designate of the use of nuclear weapons and terrorism among crimes within the purview of the ICC, as proposed by India.

Common Article 3
India has ratified the 1949 Geneva Conventions and has even enacted Geneva Conventions Act 1960, but in practise, India has decided to overlook Common Article 3- in its special enactments, applicability and Supreme Court rulings. Moreover, India categorically and more extensively argues that at no point has the situation in India met the threshold required for the application of Common Article 3.

Situation in Kashmir
There are reports on hundreds of mass graves in Kashmir. Torture, hostage-taking, and rape have all been prominent abuses in the Kashmir conflict. Both security forces and armed militants have used rape as a weapon: to punish, intimidate, coerce, humiliate and degrade,

but no we do not meet the threshold of Common Article 3.There is widespread and frequent fighting throughout Kashmir, recourse by the government to its regular armed forces, the organization of insurgents into armed forces with military commanders responsible for the actions of those forces and capable of adhering to laws of war obligations, the military nature of operations conducted on both sides, and the size of the insurgent forces and of the government's military forces, which makes Common Article 3 is applicable to the conflict in Kashmir-but still Indian government argues that it does not meet the threshold for application of Common Article 3. This is because India has viewed the conflicts it has been beset with as domestic affairs, maybe, above the 'law and order' level but certainly below that of a non-international armed conflict.

The definition of non-international armed conflict not having been attempted in Common Article 3, the threshold of its applicability is pitched high by domestic states. Governments are understandably reluctant because of sovereignty considerations to concede belligerency opportunities for the non-state groups who they accuse of posing an armed challenge to the state. This reluctance is despite Common Article 3 stating that its application 'shall not affect the legal status of the Parties to the conflict.'

Situation in North Eastern States

Another example is, Armed Forces (Special Powers) Act, 1958 (hereinafter 'AFSPA'), passed when the Naga movement in the North eastern States for independence had just taken off. AFSPA has just six sections. The most damning are those in the fourth and sixth sections: the former enables security forces to "fire upon or otherwise use force, even to the causing of death" where laws are being violated. The latter says no criminal prosecution will lie against any person who has taken action under this act. While Common Article 3 prohibits killing of innocent civilians in non-international armed conflict, AFSPA under section 4(a) gives wide ranging powers to the armed forces to use force to the extent of causing death on mere suspicion. This has occasioned the application of AFSPA without resorting to the emergency provisions that would then invite its accountability externally. Till date, not a single army, or paramilitary officer or soldier has been prosecuted for murder, rape, destruction of property (including the burning of villages in the 1960s in Nagaland and Mizoram). There has been regrouping of villages in both places: villagers were forced to leave their homes at gunpoint, throw their belongings onto the back of a truck and move to a common site where they were herded together with strangers and formed new villages. It is a shameful and horrific history, which India knows little about and has cared even less for. There are extrajudicial executions, made emphatically in the north east region, which Government normally remains silent about. Justice Jeevan Reddy committee recommended the repeal of the AFSPA in 2005 but the findings and recommendations are buried as the government has neither taken a call on them nor made them public.

The situation of conflict that persists in Kashmir and the North-East explains the reasons for the state's anxiety that this manner of violence could be referred to the ICC. Always arguing that the threshold has not reached, India continuously evades application of Common Article 3. Some help could have been taken from Additional Protocol II,where a lower threshold in found under Article 1(2) but India has not ratified the same. Even, the inclusion of 'armed conflict not of an international character' in defining 'war crimes' in Article 8 of the Statute for an ICC met with resistance from the Indian establishment.

India has even gone further and in December 2002, India signed a Bilateral Immunity Agreement with the United States of America, which has signed over a 100 such agreements to nullify the ICC's impact as far as U.S. personnel are concerned. These agreements are also called "Article 98 agreement" because they refer to the provision of the Rome Statute that prohibits the ICC from prosecuting someone located within an ICC member state if doing so

would cause the member state to violate the terms of other bilateral or multilateral treaties to which it may be a party.

On signing up the Rome Statute, there is a fear India would immediately come under ICC jurisdiction for violations under Common Article 3 and crimes against humanity during non-international armed conflict. This may be said to be a major reason for staying out of ICC since Articles 7 and 8 of the Rome Statute include such crimes, and no reservations are permitted, except that under Article 124 of the Rome Statute, States are permitted at the time of joining to opt out of war crimes jurisdiction for seven years.

India also looks for an opt-in provision whereby a state could accept the jurisdiction of the ICC by declaration (possibly for a specified period), and this might be limited to particular conduct or to conduct committed during a particular period of time. The lack of such a provision, and the inherent jurisdiction which replaced it, are perceived as representing a violation of the consent of states, and thus a threat to sovereignty. India's resistance to accepting the inherent jurisdiction of the ICC is explained, in part, by anxieties about how investigation, prosecution and criminal proceedings in the Indian system may be judged by an international court. Further elements giving rise to India's misgivings are the fear that the Court might be used with political motives, the power conferred on the Prosecutor to initiate investigations *proprio motu* and the role allotted to the Security Council.

Conclusion

Having become Party to so many human rights conventions, which requires India to submit a variety of periodic reports for UN scrutiny on domestic actions , it is scarcely appropriate that India should assert impunity for the commission of the most heinous crimes imaginable in the course of combating domestic insurgencies. The Indian position, that India does not need the ICC because it is perfectly capable of dealing with mass crimes, is misleading. The ICC only steps in when the state does not act, or acts in ways that shield perpetrators. Indeed, in normal circumstances, India would have wished to be among the first to join such a revolutionary initiative to improve the international system. Maybe in the future meetings of the ICC Assembly of Parties could well consider, for example, extending the Kampala 'opt-out' provisions . Terrorism and the use of nuclear weapons could be taken up for consideration for inclusion in the ICC's purview.

There are a few concerns about Indian leaders/military commanders being prosecuted by the ICC if India joined which are highly exaggerated. ICC jurisdiction over India under the UNSC referral process would be theoretically possible whether or not India joins the ICC, but highly unlikely in practice. India should immediately ensure substantive and effective participation in ICC deliberative and negotiating bodies which it is entitled to attend as an observer. Most of the objections and concerns highlighted in this paper, seem to have waned over the years. Moreover, heightened activities on the ICC in India in the past year have generated greater participation and interest from diverse constituencies including parliamentarians, academia, media and various civil society groups.

India has been subject to international dispute settlement bodies, such as the Dispute Settlement Body of the World Trade Organization and the International Court of Justice, amongst others. State sovereignty is not compromised merely because a nation-state agrees to subject itself to an international court that can exercise jurisdiction over its officials.Several legal provisions found in the Indian Constitution and the criminal laws of India are antecedents to many of the principles found in the Rome Statute – the presumption of innocence, principle of legality, proof of guilt beyond reasonable doubt, fair trial, legal aid and the right to remain silent, amongst others. Thus, India might have seriously prejudiced and misjudged the legal, political and social repercussions of opposing the Rome Statute, and risks further erosion of credibility if it altogether repudiates the Statute, and with it, its sizable

practical advantages for protecting the dual interests of its nationals as individuals serving their country abroad, and of its national security.

Till India signs the Rome Statute it must be stated that the standards set by the Rome Statute could be of use in the region regardless of its poor record of ratification. For instance, the Rome standards have been used to promote law reform at the national level in India, as well as to provide redress to victims before national Courts in Sri Lanka. Thus, although the importance of the Court in fighting impunity worldwide is undisputable, the ICC also exists as a tool to strengthen national legal systems and provide redress to victims.

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PRINCIPLES OF STATE-BUILDING: THE CASE OF KOSOVO

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Abstract

This study intends to analyze and discuss the principles on the bases of which Kosovo declared its independence on 17 February 2008. Kosovo was a particular case in terms of this principles and the claims between Albanian and Serbian over its territory. The paper puts emphasis on, the anti-constitutional removal of Kosovo's autonomy in 1989, the repression exercised over the civilian population in Kosovo as well as the arguments for the right to self-determination of Kosovo as the last breakaway territory after the disintegration of Yugoslavia. In addition, arguments takes into account the ethnic principle and the principle of Uti Possidetis based on which all other Republics of former Yugoslavia (except Kosovo) gained their independence through Badinter Commission. Furthermore, paper analyzes the relevance of these principles in the case of Kosovo, and how they were used by other countries in their statehood stories. Finally, the paper relies on the opinion given by the International Court of Justice over Kosovo declaration of independence by the leaders of Kosovo institutuions.

Keywords: Self-determination, uti-possidetis principle, Yugoslavia, resolution 1244, independence, international law.

Introduction

Throughout history, changes of borders have occurred as a result of the Great Powers' interests. The population that remained outside the borders of the mother state have been considered as an unresolved problem which was to be resolved according to the interests of the occupying state. Many border changes have occurred in the areas of the Western Balkans based on ethnic composition, in fact, "the right to self-determination has been violated in most of the cases, where unjustly-created ethnic borders have further created minority problems."[200] The same case could be used to explain the situation with the Kosovo Albanian population up until 1999, as they never agreed with the annexation of Kosovo from Serbia. Kosovo's autonomy was revoked in 1989, at the very beginning of the disintegration of Yugoslavia. The revocation of the autonomy initiated by Slobodan Milosevic, the president of then Yugoslavia, was in fact contradictory to the SFRY Constitution.[201] The Serbian politics in an attempt to create the Great Serbia were not only against Kosovo but against all peoples living in Yugoslavia, which led to armed conflicts. Consequently, all the former Republics forming Yugoslavia declared their own independence as a result of Milosevic's destructive politics. The very same fundamental right of self-determination was requested by Kosovo

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[200] Georg Brunner, *Nationalitätenprobleme und Minderheitenkonflikte in Osteuropa* (Nationality problems and minority conflicts in Eastern Europe) (Gütersloh 1996), 104.

[201] See Article 5 of the Yugoslav Constitution of Socialist Federal Republic of Yugoslavia 1974.

Albanians. However, this was refused by the Serbian government and parliament, as they took measures (including the military intervention to prevent Kosovo's breakaway.[202]

Unrestrained actions of Serbia against the majority Albanian population in Kosovo led to NATO intervention which forced all Yugoslav armed forces to withdraw from Kosovo. UN Security Council approved the Resolution 1244 assuring the establishment of an interim UN administration. Yugoslavia/Serbia's sovereignty over Kosovo was revoked upon the deployment of KFOR[203] troops under the NATO lead and upon the installation of UN administration (UNMIK[204]) in Kosovo. Thus, Kosovo came under UN protectorate until finally declaring its independence almost ten years later in 2008. The declaration of independence of Kosovo opened a controversial debate to the highest level in international politics. On the one hand, the independence of Kosovo is being viewed as an action in accordance with the international law, and on the other hand as an action violating the international law. Therefore, the main aim of this study is to analyze the principles on the bases of which Kosovo declared its independence, how these principles were relevant in the case of Kosovo, and how they are used by other countries in their statehood stories. Claims made by the state of Serbia over Kosovo are based on church heritage whereas our evidence shows that there are hundreds of such cases in many countries worldwide. These claims that now belong to the past could not impede Kosovo from declaring its own independence. On the contrary, the exercise of a continuous repression against the Albanian population in Kosovo by the Serbian state apparatus created an intense mistrust leading to Kosovo's breakaway.

Albanian and Serbian claims over Kosovo - *The two-century rivals for Kosovo*

The source of the conflict for Kosovo amid Albanians and Serbs dates since medieval times. For centuries, both sides have fought for Kosovo. Even nowadays, Serbs claim that their culture is rooted in the Battle of Kosovo and that their predecessors were the first inhabitants of Kosovo. According to Noel Malcolm, a British historian, Serbs were first settled in Rashka[205] territory and not in Kosovo as the Serbs claim. According to him, the territory of Kosovo was not within the territory of the Serbs of Rashka. Serbian expansion in Kosovo started at the end of the XII[206] century. Quite to the contrary, Kosovo Albanians consider the Kosovo territory[207] as their own ancient territory founded by their Thraco-Illyrian descent and origin.[208] "Mindful historians with reasonable grounds claim that Albanians are descendants of ancient Illyrians and this fact tells us that Kosovo was their home before the arrival of Serbs in Kosovo."[209] Kosovo remained under the Ottoman rule for five hundred years after the loss of the Christian Peoples' Alliance of the Balkans in Fushë Kosovë in 1389. Serbs mythicized the loss of this battle and considered it as their own victory. This myth has been used as an instrument supporting the Serbian political expansion.[210]

The end of the Ottoman Empire and the Kosovo issue

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[202] Schmitt, Oliver Jens Schmitt, *Kosovo Kurze Geschichte einer zentralbalkanischen Landschaft* (Kosovo, a short history of central Balkan territory) (Wien 2008), p.307.

[203] Kosovo Force

[204] United Nation Interim Administration Mission in Kosovo

[205] Rashka is small town in southwest Serbia

[206] Noel Malcolm, *Kosova, një histori e shkurter* (Kosovo, a brief history), (Prishtinë 2001), 26.

[207] Calic, Marie-Janine, *Ein Mythos bringt Tod und Zerstörung* (A myth brings death and destruction) [database on-line]; available at http://www.vhs.ahlen.eu/forum-bruederlichkeit/kosovo/mythos.shtml, accessed on 06 May 2013.

[208] Noel Malcolm, *Kosova, një histori e shkurter* (Kosovo, a brief history), (Prishtinë 2001), 28.

[209] Calic, Marie-Janine, *Ein Mythos bringt Tod und Zerstörung* (A myth brings death and destruction) [database on-line]; available at http://www.vhs.ahlen.eu/forum-bruederlichkeit/kosovo/mythos.shtml, accessed on 06 May 2013.

[210] Gazimestan Speech by Slobodan Milosevic on 28 June 1989.

National movements of the Balkan peoples started upon the weakening of the Ottoman Empire in the XIX century.[211] The aims of these peoples were to fight against the Ottoman Empire on the one hand, and on the other hand gradually expand their territories at the expense of their own neighbours. Great Powers supported various peoples of the Balkans based on their interests. During the time period between 1912 and 1914 the majority of the Balkan countries were highly influenced and directed by Russian politics. On behalf of brotherhood and pan-Slavism, Serbs were fully supported by Russia, specifically in terms of expansion of their territories in the areas inhabited by the Albanian population. The Russian sphere of influence was strengthened significantly after the consecutive losses of the Ottoman Empire. From the ethnographic point of view, it could be said that the rights and interests of the native population were not taken into account.

In June 1878 the Congress of Berlin was held to prevent this. Albania and Albanians did not have a worthy representation to defend their own interests and aspirations nor did they enjoy the support of the Great Powers and their allies. Albania's neighbouring countries in cooperation with European Great Powers played an important role in territorial issues. Albania was partially split among its neighbours. Thus, the Albanian-speaking population was divided in many surrounding countries where it was exposed to harsh repression and discrimination. A resistance and a countrywide uprising were organized against the separation of the Albanian lands. This paved the way to the establishment of the Prizren League in 1878[212], but this resistance was unsuccessful in achieving its goals in joining the annexed territory back to Albania. In 1878, Serbia became an independent country and a conqueror of some of the territories in the region. During the Balkan Wars (1912-1913), it conquered Kosovo and Macedonia. The rights of Albanians and Macedonians to decide their own future were violated after this conquest.[213] Serbia expanded its own territory by extending on Vardar - Macedonia, Kosovo and Sanjak by around 81%[214], which resulted in new internal problems that Serbia still faces even today. A portion of the Albanian population remained within the Serbian state extended (usurped) territory apart from their resistance.

In 1913, through the London Treaty, the Great Powers had decided to divide Albania among Serbia, Montenegro and Greece. These anti-Albanian plans failed because the then US President Woodrow Wilson did not agree with a plan which he strongly opposed.[215] The following Albanian uprising occurred after the re-conquest of Kosovo by Serbia in 1918. The Albanians were against the inclusion of Kosovo within Serbia or Yugoslavia.[216]

The Serbian legal claim

Serbia tried to justify the conquest of Kosovo by their "historic right" on the current territory of Kosovo through their "glorious" medieval history. The right of a state over a region or province, which is based on the tombs, churches, temples, battles and architecture cannot be considered relevant to our time we live in. In addition to this, Serbs consider Kosovo as the cradle of their culture using historic proofs such as churches, medieval monasteries and the battle of Kosovo in 1398. "Serbian Churches and their past in Kosovo have the same status as the Arabic mosques in Spain or Greek churches in Istanbul."[217] With

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[211] Zejnullah Gruda, "Historia e Kosovës"(The Kosovo history), *Koha Ditore Magazine*, 28 September 2006.

[212] Zejnullah Gruda, "Historia e Kosovës"(The Kosovo history), *Koha Ditore Magazine*, 28 September 2006.

[213] Attila Hoare, Marko *"Kunder Tiranëve dhe spastruesve etnik"* (Against the tyrants and ethnic cleansers), *Express Magazine*, 3 August 2010, 3.

[214] Calic, Marie-Janine, *Geschichte Jugoslawiens im 20. Jahrhundert* (Yugoslavia's history in the 20th century) (Munich 2010), 68.

[215] Zejnullah Gruda, "Historia e Kosovës"(The Kosovo history), *Koha Ditore Magazine*, 28 September 2006.

[216] Zejnullah Gruda, "Historia e Kosovës"(The Kosovo history), *Koha Ditore Magazine*, 28 September 2006.

[217] Kastriot Zeka, *Self-determination History of Kosovo*, [database on- line]; available at http://kosova-aktuell.de/index.php?option=com_content&task=view&id=172&Itemid=40, accessed on 15 November 2013.

this Serbian proof therefore one could argue that even the Greeks have the rights over Istanbul; Arabs have the right over Spain or maybe Italians living in the north of Alps up to Lima.

Albanians find support for their Illyrian ancestry in this region, in the Province of Dardania where after the division that followed in the Christian religion, they remained Catholics. Therefore, churches in Kosovo were rebuilt and enlarged from the very foundations of the Albanian catholic churches and turned into Serbian ones by the Serb rulers of the 14 century.[218] The Battle of Kosovo in 1389 has been mythicized and politicized in order to internationalize Kosovo as the cradle of the Serbian culture and therefore make Kosovo an undivided part of the Serbian state. But it was not only the Serbs who fought against the Ottomans in this battle, but all Christians including Albanian Christians, Bulgarians, Macedonians and others. "This means that Christians fought against the Ottomans in Kosovo, the Albanian land." [219] This myth has been serving the Serbs even today to support their claim over Kosovo. Between the periods of 1909-1918 Serbs popularized the idea that the borders were to be based on ethnic principles. According to them, Albanians in fact were Serbs who were Albanianicized and assimilated by their Albanian neighbours during the reign of the Ottoman Empire and thus changed the structure of the ethnic province of Kosovo by converting to Islam." [220] "Whole libraries and pseudo-scientists have attempted to reason that "arnauts"[221] in reality are Albanized Serbs".[222] The above argument is heavily criticized by the Albanians living in Kosovo but also it is eliminated by historical events and truths as the native Albanians lived in many neighbouring countries.

During the 1980s and 1990s of the twentieth century, the Serbian claim over the majority of the regions of Yugoslavia led to the disintegration of Yugoslavia during the wars in Croatia, Bosnia and Herzegovina and Kosovo. Brutal wars were fought between the Serbs on one side, and Croats, Bosnians and later Albanians on the other during the early 90s, and then late 90s. On 12 June 1999, Kosovo came under UN administration. After the approval of the Resolution 1244 by the UN Security Council, the mission of the interim administration exercised a security presence (KFOR) and an interim administration (UNMIK). The international mission aimed in helping to establish an interim government in order to achieve "a substantial autonomy and self-governance" [223]

The right to self-determination

Six years ago, on 17 February 2008 at an extraordinary session at the Assembly of Kosovo, The Prime Minister of Kosovo, Mr. Hashim Thaçi declared: "We, the democratically-elected leaders of our people, with this declaration, hereby declare Kosovo to be an independent and sovereign state".[224] Kosovo declared its independence unilaterally based on the right of self-determination of peoples.[225]

The development of the right to self-determination

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[218] According to Schmitt, Jens Oliver, *Kosovo*, (Vienna 2008), 29-34.

[219] Fabian Schmidt, *Im Griff der großen Mächte* (Schmid: In the grip of the great powers) *Thomas, Krieg im Kosovo* (Thomas War in Kosovo) (Hamburg 1999), 82.

[220] Zejnullah Gruda, "Historia e Kosovës"(The Kosovo history), *Koha Ditore Magazine*, 28 September 2006.

[221] The Serbs, the Albanians called „Arnauts" or „Shiptari", with the intention to weaken their identity.

[222] Calic, Marie-Janine, *Geschichte Jugoslawiens im 20. Jahrhundert* (Yugoslavia's history in the 20th century) (Munich 2010), 90.

[223] Negotiating framework 15 May. 2001.

[224] Prime Minister of Kosovo, Hashim Thaci, 2008.

[225] Mc Whinney, Edward (2007). *Self-Determination of Peoples and Plural-Ethnic States in Contemporary International Law: Failed States, Nation-Building and the Alternative, Federal Option*. Martinus Nijhoff Publishers. p. 8.

Various factors have played a key role in the state-building, including the policies of the great powers that have supported, or on the contrary, have prevented the creation of new states. For example, the state-building process in the Balkans has been greatly exposed to the impact of the great powers. "Foreign impact of the Great Powers has played a determinant and arbitrary role in the creation and status of the Balkans states."[226] Based on the fact that all people have the right to self-determination, as a natural right, even today various peoples make efforts to free themselves from the rule of others and decide their own fate. Throughout history, the right to self-determination has been denied in most of the cases. This opposition has often led to various wars and conflicts. The right to self-determination is not viewed as a new concept by the scientists. This phenomenon has its roots in antiquity.

"Ever since the antique philosophy, what has been noticed is the effort of the human to be independent and separate from the impacts of nature, divine powers and determined only by his thinking." [227] The right to self-determination as an idea was empowered back in the 18th century Bourgeoisie Enlightenment. But the idea of freedom and self-determination rights for the entire nation was first formulated with the independence of the United States in 1775. The revolution organized by the American people to search for their freedom and liberty from the British invader has led to the Independence of the USA. Later on, the self-determination principle was convincingly confirmed after the French Revolution due to the fact that the French people were liberated from their rulers.[228]

At the end of the First World War, in the arena of international politics, the American President Woodrow Wilson came with his Fourteen Points plan. His goal was to create a new world order and serve peace in this way. The right to self-determination as well as the guarantee of minority rights was also included within these points. It was based on Lenin's formulation.[229] Since then, the right of self-determination was enhanced in terms of importance. On 26 June 1945 it was included in the United Nations Charter in Article 1, Paragraph 2 and Article 55[230]. In these Articles, the right of self-determination is valued as one of the preconditions for peace and stability. From now and onwards, it is recognized as a norm (jus co genus norm)[231] of the international community. In the International Convention on Civil and Political Rights of 19 December 1966 that came into force in 1976, the right of self-determination was codified including the human rights of all peoples. Pursuant to Article 1 of this Convention, *"All peoples "(...) have the right of self-determination. By virtue of that right they freely determine their political status and freely pursue their economic, social and cultural development."* [232]

The Declaration of Rights of Endogenous Peoples was presented by their representatives on 13 September 2007.[233] According to this declaration, the rights of peoples to self-determination are guaranteed. But the term "peoples" has not been defined respectively

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[226] Jörg Fisch, *Das Selbstbestimmungsrecht der Völker* (The self-determination of peoples) (München 2010), 132.

[227] Fisch, *Das Selbstbestimmungsrecht der Völker*, 30.

[228] Norman Paech, *Selbstbestimmungsrecht und Minderheitenschutz* (Self-determination and the protection of minorities) [database on- line]; available at http://www.norman-paech.de/uploads/media/Gutachten_Kurdistan.pdf, Accessed on 02 September 2012.

[229] 14-point program of United States President Woodrow Wilson [database on- line]; available at http://www.dhm.de/lemo/html/dokumente/14punkte/, accessed on 15 May 2013.

[230] Charter of the United Nations of 26 June 1945 (San Francisco), [database on- line]; available at http://www.forost.ungarischesinstitut.de /pdf/19450626-4.pdf, accessed on 29 May 2013.

[231] Irresistible Law

[232] International Convention on Civil and Political Rights of 19 December 1966[database on- line]; available at http://www.auswaertiges-amt.de/cae/servlet/contentblob/360794/publicationFile/3613/IntZivilpakt.pdf, accessed on 29 May 2013.

[233] See General Assembly resolution 61/295, available [database on- line]; available at: Http://www.un.org/esa/socdev/unpfii/documents/Declaration (German) pdf, accessed on 22 May 2013.

nor has it been explained in the United Nations Charter or on the 1966 Convention of Human Rights. For this reason, the term is still contradictory and disputed in the literature of international law. Thus, the principle of the right to self-determination has been shifted from a political principle to a judicial one and has had a wide support by the United Nations. [234] Also in the Resolution 2625 of the General Assembly of the United Nations of 24 October 1970 "equal and self-determination rights of peoples" were added."[235] The right to equal justice and self -determination was used by colonized territories in order to gain their full independence. The process of decolonization occurred as a result and based on this right of nations, and it was valued as an important step towards achieving justice for all.[236] At this time, this principle is of significant importance for the process of creating new states.

Internal and external self-determination

Within the framework of the international law, the right to self-determination contains two important aspects: the internal and external principle. The first aspect assures that all people enjoy freedom in order to determine their internal domestic matters of their state. The second aspect explicitly states that people have the right to self-determination, whether they want to live with other people or want to be independent.[237] The internal right of the states for self-determination deters any interference of foreign rule. This means that the internal right to self-determination "(...) is the right of people to determine its own constitution, in order to govern itself, and to determine on the use of its wealth and resources."[238] The interference in the domestic matters of a state is also forbidden by the UN Charter.[239] But UN member states are obliged to guarantee equal rights to their citizens, namely their own people. Even the International Pact on Civil and Political Rights requires the respect for the minority rights. Article 26 of the Convention prohibits "(...) every discrimination irrespective of their race, skin colour, sex, language, religion, political inclination or other, national origin and wealth, birth or any other status, (...)."[240] By assuring human rights for minorities, the right to internal self-determination and stability of a state is also guaranteed.

According to Stephan Hobe (2008), only in extraordinary circumstances, when it comes to the violation of human rights, the "external" right can be followed by the "internal" right to self-determination and then, it results on the right to breakup from the state equally shared previously.[241] This means that the external right to self-determination or breakup belongs to a minority or an ethnic group exceptionally in cases of grave and long-term violations of human rights. A permanent repression of a minority or ethnic group by the mother state could lead to an external self-determination where self-defence may follow as a result. According to Landy, self-determination implies the right of the oppressed minority to

[234] Zejnullah Gruda, *E Drejta Nderkombetare Publike* (The International Public Law) (Pristina, 2003), 63.

[235] UN General Assembly, A/RES/2625 (XXV), 24 October 1970, *Declaration on Principles of International Law concerning Friendly Relations and Cooperation among States in accordance with the Charter of the United Nations*, accessed on 29 May 2013.

[236] Jörg Fisch, *Das Selbstbestimmungsrecht der Völker* (The self-determination of peoples) (München 2010), 18.

[237] Zejnullah Gruda, *E Drejta Nderkombetare Publike* (The International Public Law) (Pristina, 2003), 62.

[238] Robert Muharremi, *Treuhandverwaltung zwischen Friedenswahrung, Souveränität und Selbstbestimmungsrecht* (Trusteeship between the maintenance of peace, sovereignty and self-determination) (Baden-Baden 2005), 111.

[239] United Nations Charter and Statute of the International Court of Justice, [database on- line]; available at: http://www.un.org/depts/german/un_charta/charta.pdf, accessed on 29 May 2013.

[240] International Convention on Civil and Political Rights, at: http://www.auswaertiges-amt.de/cae/servlet/contentblob/360794/publicationFile/3613/IntZivilpakt.pdf, accessed on 29 05th, 2013.

[241] Stephan Hobe, *Einführung in das Völkerrecht* (Introduction to International Law) (Köln 2008), 118.

breakup from the ruling state, or the right to establish its own state or to join another nation state.[242]

Fiedler describes that the right to external self-determination of all peoples guarantees them the right to decide freely and without any foreign interference from abroad on their political status, (...) every country is obliged to respect these rights.[243] Moreover, the establishment of independent states is prescribed in Paragraph 4. It is restricted from the sovereignty and territorial integrity of states. Bearing in mind the new events that occurred in Kosovo, the question arises to what extent they allow Kosovo to declare its independence and breakup from Serbia. Facts and figures show that the Serbs have continuously oppressed Kosovo Albanians.

"Throughout history, Serbia has continuously oppressed Kosovo Albanians since the time of the Balkan Wars of 1912-1913 when the Great Powers granted the majority Albanian-populated Kosovo to the Serbian Kingdom instead of ceding it to Albania."[244] Inequality and discrimination exercised by Serbia towards Kosovo Albanians in Former Yugoslavia is best described by Branko Horvat, a Croatian academic, in his book "The Kosovo Question" (Croatian: Kosovsko Pitanje).[245] It is about the grave violation of human rights in Kosovo by Serbian authorities. These facts confirm "The Declaration of Principles of the International Law regarding friendly relations (...) among states"[246], because if the self-determination and sovereignty subjects are dissolved, then the internal self-determination right is valid. The issue as to what extent is this valid regarding Kosovo has been widely discussed in various judicial-political debates.

Implementation of the self-determination

From a historical perspective, the western and international democratic order as a whole is rooted in national separatism. Various factors have played a role in the creation of new states. These factors include: obvious repression and discrimination towards minority groups. As a result, these repressed people were forced to resist or fight until they created their own state and governed themselves. Even the strongest democratic country (the USA) was created out of a separatist revolt. The declaration of independence of the United States of America from Great Britain was a unilateral act by the Americans. The causes of these separatist revolts were imposed by the high taxes demanded from the United Kingdom.[247]

If we analyze the separatist revolt of the Americans to that of Kosovo Albanians, we come to the conclusion that the majority of people in Kosovo had a strong reason to their claim and efforts to gain the right of self-determination. There were also a great number of European countries that were part of a larger entity; however, they still gained their independence in a number of historical periods of time. With respect to the above, the following countries gained their independence from a larger sovereignty: Switzerland, Sweden, Netherlands, Portugal, Greece, Luxemburg, Serbia, Montenegro, Romania, Norway, Bulgaria, Albania, Poland, Finland, Czech Republic, Slovakia, Ireland, Iceland, Cyprus,

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[242] Sy Landy, *Self-determination and "military defense" the Marxist method,* [database on- line]; available at: http://www.lrp-cofi.org/KOVI_BRD/Dokument/Selbstbestimmung.html, accessed on 25 November 2012.

[243] Wilfried Fiedler [database on- line]; available at: http://archiv.jura.unisaarland.de/FB/LS/Fiedler/Fiedler/Aufsaetze/Selbstbestimmungsrecht-21-06 01.htm#G.%20GRENZEN%20DES, accessed on 10 April 2013.

[244] Sy Landy, *Self-determination and "military defense" the Marxist method,* [database on- line]; available at: http://www.lrp-cofi.org/KOVI_BRD/Dokument/Selbstbestimmung.html, accessed on 25 November 2012.

[245] Branko Horvat: *Kosovsko Pitanje* (Kosovo issue), (Zagreb 1987).

[246] Wilfried Fiedler [database on- line]; available at: http://archiv.jura.unisaarland.de/FB/LS/Fiedler/Fiedler/Aufsaetze/Selbstbestimmungsrecht-21-06 01.htm#G.%20GRENZEN%20DES, accessed on 10 April 2013.

[247] Attila Hoare, Marko *"Kunder Tiranëve dhe spastruesve etnik"* (Against the tyrants and ethnic cleansers), *Express Magazine*, 3 August 2010, 3.

Malta, Lithuania Latvia, Estonia, Georgia, Armenia, Azerbaijan, Ukraine, Belarus, Slovenia, Croatia, Macedonia, Bosnia and Herzegovina, (...)[248] Upon the fall of the Soviet Union, there were a certain number of other countries that managed to apply the self-determination right. "Disintegration of the Soviet Union and the reunion of Germany as well as the developments in the Balkan region were significant events that confirmed the right of people for self-determination."[249]

Uti Possidetis principle and its implementation

The Uti Possidetis principle has played an important role in the decolonization process and creation of new states by accepting the borders drawn by colonialist powers between states and partially within the states and recognizing them as being the borders of independent states."[250] Uti Possidetis principles have been discussed in various contradicting ways. This principle was first applied in 1810 and 1821 during the decolonization process of South America with particular emphasis on the countries of Central America. [251] It was taken by most African countries and then implemented in 1884-1885. [252] The so-called Badinter Committee was established upon the raising of tensions amid the peoples in former Yugoslavia. It was composed of the European Court for the Constitutional Right. Its task was to decompose judicial matters within Yugoslavia.[253] This committee confirmed that all people have the right for self-determination.[254] This meant that the constituent parts of Yugoslavia could declare their independence by applying the Uti Possidetis principle and the opinion of this Committee.

After the Second World War, borderlines were drawn on historic and national principles. Kosovo and its borders were created based on national principles.[255] Border integrity and Kosovo autonomy were guaranteed by the Yugoslav Constitution of 1974. Pursuant to Article 5 of the Constitution of 1974, Kosovo borders could not be changed without its consent.[256] "Based on that, Kosovo Albanians prove that Kosovo has been a constituent part of former SFRY. [257] Not only did this Constitution guarantee the autonomy, but it also guaranteed an equal representation as other Yugoslav[258] Republics and the right to use its veto in the institutions of Socialist Federative Republic of Yugoslavia. A consensus of all constituent parts of Yugoslavia was required on all decisions made at the Federal Assembly with regard to the changing of laws. In fact, two socialist- autonomous provinces within the federation (Kosovo and Vojvodina) had to make decisions jointly with other Republics regarding the future of Yugoslavia.[259]

The constitution of 1974 guaranteed Kosovo the following rights:

The right to approve its Constitution and the right to approve or change laws, the right to a functional Constitutional Court, the right to an autonomous judiciary and a Senior Court, the right to defend its interests, the right to sign Conventions and agreements with institutions

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[248] Hoare, Marko *"Kunder Tiranëve dhe spastruesve etnik"*, 3.

[249] Karl Doehring, *Völkerrecht,* (International Law) (Heidelberg 2004), 340.

[250] Jörg Fisch, *Das Selbstbestimmungsrecht der Völker* (The self-determination of peoples) (München 2010), 66.

[251] Zejnullah Gruda, *Parimi uti possidetis - Kufijtë brendshëm* (The principle of uti possidetis - inner boundaries) *Koha Ditore Magazine*, 28 September 2006.

[252] Roland Schäfer, *Die uti possidetis und ihre Anwendung* (The uti possidetis and his application) (Norderstedt Germany 2008), 4.

[253] Schäfer, *Die uti possidetis und ihre Anwendung*, 6.

[254] Schäfer, *Die uti possidetis und ihre Anwendung*, 6.

[255] Zejnullah Gruda, *Parimi uti possidetis - Kufijtë brendshëm* (The principle of uti possidetis - inner boundaries) *Koha Ditore Magazine*, 28 September 2006.

[256] See Article 5 of the Yugoslav constitution of 1974

[257] Wichard Woyke (Hrsg.), *Handwörterbuch internationale Politik* (Directory of international politics) (UTB Opladen 2008), 22.

[258] The Socialist Federal Republic of Yugoslavia consisted of six republics (Bosnia and Herzegovina, Croatia, Macedonia, Slovenia, Serbia, and two autonomous provinces (Kosovo and Vojvodina).

[259] Branko Horvat, *Kosovsko Pitanje* (Kosovo issue) (Zagreb, 1987), 91-94.

of other countries or international organizations, the right to have independent institutions such as the Assembly, Presidency, Executive governance, Ministry of Defence, Ministry of Justice and Ministry of Internal Affairs). [260]

Based on all the above-mentioned facts, the question arises; had not Kosovo fulfilled the preconditions of the Uti Possidetis principle to declare its independence? According to Fisch, autonomy means self-governance (...) if somebody has the right of self-determination, under specific circumstances, has also the right to create a sovereign state. [261]

Ethnic principle as an attribute of an independent state

Demographic Structure

In order to create the independent state of Kosovo, the basic ethnic principle should be taken into account. Even though only 8% of the countries in the world are homogenous, ethnic principle has been one of the key criteria in the state- building process. [262] In the nineteenth century, "the national principle according to which, any nation as a society, having a joint language, religion, economy, culture, skin colour, tradition, history, race, origin, sex, etc, may create an independent country. In 1870, Italy was united through this process, as well as Romania, and Serbia and Montenegro were established as independent states". [263] The latter have expanded in terms of territory. [264] Recognizing the fact that Kosovo has a compact demographic structure, composed of 92% of Kosovo Albanians, the ethnic principle was mentioned as one of the reasons for independence.

The impact of Serbian politics on the demographic structure of Kosovo

From a historical dimension, the Albanian demographic structure in Kosovo was a serious concern for Serbia because Albanians were a majority and had a greater birth-rate in the entirety of Yugoslavia. Serbian history is based on the developments of 1690 - a great displacement (*Serbian: Velika Seoba*) of Serbs from Kosovo heading to Serbia. As a consequence, Serbs remained a minority in Kosovo. But "in reality, there has neither been any depopulation of Kosovo by the Serbs (…) nor has any massive flux of Albanians towards Kosovo ever occurred."[265] This view of the Serbian historiography was also present throughout the nineteenth century.[266] For this very reason, Serbian politicians and academics were forced to establish various programs that would change the demographic structure in Kosovo. During the Balkan Wars of 1912/13, Serbian politics aimed at "(…)   correcting the ethnographic statistics in their favour…" [267] in an attempt to change the ethnic character of the regions populated mostly by Albanians. [268]

On 7 March 1937, Serbian Academy of Arts and Sciences issued a program entitled: the displacement of Albanians (in Serbian, Iseljavanje Arnauta). It marked the beginning of the implementation of this project. Serbian academic, Vasa Çubriloviç represented the view that Serbian colonization did not lead to any decrease in the Albanian population". [269]

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[260] Zejnullah Gruda, *Parimi uti possidetis - Kufijtë brendshëm* (The principle of uti possidetis - inner boundaries) *Koha Ditore Magazine*, 28 September 2006.

[261] Jörg Fisch, *Das Selbstbestimmungsrecht der Völker* (The self-determination of peoples) (München 2010), 132.

[262] Zejnullah Gruda, *Parimi etnik* (The ethnic principle), *Koha Ditore Magazine*, 09 September 2006.

[263] Zejnullah Gruda, *Parimi etnik* (The ethnic principle), *Koha Ditore Magazine*, 09 September 2006.

[264] Calic, Marie-Janine, *Geschichte Jugoslawiens im 20. Jahrhundert* (Yugoslavia's history in the 20th century) (Munich 2010), 42.

[265] Schmitt, Oliver Jens Schmitt, *Kosovo* (Kosovo) (Wien 2008), 147.

[266] Zejnullah Gruda, *Parimi etnik* (The ethnic principle), *Koha Ditore Magazine*, 09 September 2006.

[267] Calic, Marie-Janine, *Geschichte Jugoslawiens im 20. Jahrhundert* (Yugoslavia's history in the 20th century) (Munich 2010), 67.

[268] Calic, *Geschichte Jugoslawiens im 20. Jahrhundert, 67.*

[269] Hivzi Islami, *Spastrimet Etnike, "politika gjenocidale Serbe ndaj Shqiptareve* (Ethnic cleansing, "Serbian genocidal policies towards the Albanians) (Peja 2003), 36.

According to him, only the brutal force could (...) retain Serbian control over Kosovo." [270] The same point of view was supported by Ivo Andric, a Serbian writer and Nobel Prize winner,[271] who had prepared a special program where he developed the idea of the enlargement of Serbia or the so-called Great Serbia.[272] In order to strengthen its claims on Kosovo's territory, Serbian politics were forced to do more to enable the Serbs to become a majority population in Kosovo. Serbia tried to change the demographic structure through colonization programs and the increase the number of the Serb population in Kosovo. When it comes to figures, 15,594 Serb families were settled in Kosovo until 1936. A total of 11,289 houses were built for those families.[273] In addition, in 1938 the Serbian Government signed an agreement with Turkey where 40,000 Albanian families were to be expelled to Turkey.[274] It is estimated that between 1945-1966, around 50,000 Serbs and Montenegrins were settled in Kosovo. According to the Serbian point of view, in order to defend Serb interests, any responsibility granted by Josip Broz Tito (Yugoslavian President, 14 January 1953 – 4 May 1980) to Kosovo Albanians had to be revoked. "The very same 'rule' was applied to ban the Albanians from the state-controlled economy, state institutions, as well as the application of police measures against Albanian terrorists". [275]   Apart from expelling Albanians from their homeland, the use of massive police force,"firing employees from the civil service, prohibition of handicrafts, trade, and other survival activities (...) were also part of the agenda of Cubrilovic's Memorandum.   These were followed by humiliation and systematic degradation of the Albanian majority population." [276] Between 1980- 1996, it is thought that around 800,000 Kosovo Albanians were interrogated, tortured, persecuted and maltreated in various ways by the Serbian state apparatus. [277]

During the 1990s, Kosovo Albanians were exposed to violence and discrimination. "Kosovan civilians were victims of systematic attacks, expels, lootings and massive killings".[278] During 1998, about 1,500 Kosovo Albanians were murdered in the offensives by the Yugoslav Military and Serb special police forces, whereas around 300,000 others were expelled abroad." In 1999 "about 10,000 Kosovo Albanians were murdered and more than a million were displaced from their homes."[279] All these measures were used by Milosevic after 1989. For the last time, Serbia tried to impact in terms of changing the demographic structure of Kosovo through wars of the 90s of the twentieth century and consequently it managed to bring to Kosovo hundreds of Serb refugees who fled from the wars in Croatia and Bosnia. Until the end of 1995, the number of Serbian refugees in Kosovo increased up to 13,000 ".[280] In the meantime, some 600,000 Kosovo Albanians abandoned Kosovo. Only in 1998/99 over a million Albanians were expelled.[281]

However, it was the Kosovo Albanians who still were the majority of the population in Kosovo. This was also confirmed by the then-Minister of Foreign Affairs of Serbia and

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[270] Schmitt, Oliver Jens Schmitt, *Kosovo* (Kosovo) (Wien 2008), 207.

[271] Hivzi Islami, *Spastrimet Etnike, "politika gjenocidale Serbe ndaj Shqiptareve* (Ethnic cleansing, "Serbian genocidal policies towards the Albanians) (Peja 2003), 41.

[272] Islami, *Spastrimet Etnike, "politika gjenocidale Serbe ndaj Shqiptareve*, 40.

[273] Islami, *Spastrimet Etnike, "politika gjenocidale Serbe ndaj Shqiptareve*, 39.

[274] Islami, *Spastrimet Etnike, "politika gjenocidale Serbe ndaj Shqiptareve*, 39.

[275] Schmitt, Oliver Jens Schmitt, *Kosovo* (Kosovo) (Wien 2008), 31.

[276] Schmitt, Oliver Jens Schmitt, *Kosovo* (Kosovo) (Wien 2008), 208.

[277] Fejzullah Berisha, *Mohimi i lirive dhe të të Drejtave njëriut në Kosovë në periudhën 1990-1996* (The Denial of freedoms and human rights in Kosovo during the period 1990-1996) (Pristina, 2000), 141.

[278] Julia Nitsch, Kosovo, [database on- line]; available: http://www.bpb.de/popup/popup_druckversion.html?guid=FP4DAK, Accessed on 03 February 2013

[279]   Kosovo   independence   lawful   [database   on-   line];   available   at: http://www.bpb.de/popup/popup_druckversion.html?guid=BE2GGD&page=0, Accessed on 03 February 2013.

[280] Hivzi Islami, *Spastrimet Etnike, "politika gjenocidale Serbe ndaj Shqiptareve* (Ethnic cleansing, "Serbian genocidal policies towards the Albanians) (Peja 2003), 81.

[281] Hivzi Islami, *Spastrimet Etnike, "politika gjenocidale Serbe ndaj Shqiptareve* (Ethnic cleansing, "Serbian genocidal policies towards the Albanians) (Peja 2003), 81.

Montenegro, Vuk Draskovic during a lecture in 2005 in Austria. He also pointed to the fact that in 1912 when the Serb military were marching in Kosovo, 80% of Albanians were living in Kosovo".[282] Based on the abovementioned facts, it could be argued that the Serbian politics have failed to change the demographic structure of Kosovo apart from the continuous repression exercised towards Kosovo Albanians. Thus, Kosovo continues to be a multi-ethnic state composed of 92% of Albanian population, 5.3% Serbs and 2.7% other minorities.[283]

Resolution 1244 as a pre-stage (as a preliminary phase towards independence)

On 10 June 1999 UN Security Council approved the Resolution 1244[284]. According to this Resolution a military force (KFOR) and a civilian presence (UNMIK) were established. The Resolution placed Kosovo under the UN protectorate within Yugoslavia. This meant that a part of the sovereignty of Yugoslavia was transferred under the UN supervision. Therefore, the international community undertook the functions of an interim administration for an indefinite period of time.

The Resolution 1244 contains three main aspects:

The installation of an international civilian and military presence having a political authority and responsibility to administer Kosovo.

The implementation of requirements of the international administration in order to achieve stability for Kosovo.

The Resolution clearly defined an interim Regulation for a definite period of time which would then be part of permanent elections.[285]

The above items laid the foundations for the creation of an interim administration and establishment of independent institutions in Kosovo. Through this establishment of the interim administration, legal system of Yugoslavia and Serbia were partly annulled. In fact, by these acts and according to nudum ius, the sovereignty of Yugoslavia over Kosovo was reduced. However, the sovereignty of Yugoslavia over Kosovo continued to be assured through Resolution 1244.[286] The international community lacked a clear working strategy that would regulate the political and judicial system for a final status foreseen by Kosovo. A final settlement was not foreseen by the Resolution.

Anti-constitutional removal of Kosovo's autonomy in 1989, the tragic events of the 1990s in Kosovo and the subsequent 8 years of UN administration led to a situation where the return of Kosovo under Yugoslavia and Serbian rule was impossible. This would have been unacceptable for the 92% of the population of Kosovo. "Facts reveal the truth that Serbia took unmerciful measures (military actions) in order to deny the right of self-determination to the majority of population in Kosovo"[287]. The refusal of the right to self-determination principle by Serbia led to a bloody conflict amid peoples in Yugoslavia."[288] "Nowadays, this use of force by the dominant powers to obstruct the right to self-determination is impermissible".[289] Even though, according to the Resolution, Yugoslav sovereignty over Kosovo was guaranteed, this Resolution did not define the final political and judicial status of Kosovo, while on the other hand Kosovans continuously (excluding the Serbs) made efforts to gain independence. Kosovo's concern was the establishment of institutions that would remain such even after the independence because the return under the Serbian administration would be unacceptable for the Kosovo Albanians formed the absolute majority of the population in Kosovo. Kosovo Albanians and other peoples in former Yugoslavia should have had the right

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[282] Zejnullah Gruda, "Historia e Kosovës"(The Kosovo history), *Koha Ditore Magazine*, 28 September 2006.

[283] Kosovo Agency of Statistics, *Ethnic composition in Kosovo* (2013), http://esk.rks-gov.net/zyra-e-shtypit/67-perberja-etinke, accessed on 27.12.1013

[284] Security Council: Resolution 1244 Adopted by the security council at its 4011th meeting, on 10 June 1999.

[285] Security Council: Resolution 1244.

[286] Security Council: Resolution 1244.

[287] Zejnullah Gruda, *E Drejta Nderkombetare Publike* (The International Public Law) (Pristina, 2003), 64.

[288] Gruda, *E Drejta Nderkombetare Publike*, 64.

[289] Stephan Hope, *Einführung in das Völkerrecht* (Introduction to International Law) (Köln 2008), 329.

to self-determination. Yugoslav state was no longer mentioned because it ceased to exist upon the independence of Montenegro in 2006. From this follows the argument that neither was the declaration of Kosovo's independence a violation of Yugoslavia's sovereignty (as it ceased to exist), nor was it an act violating the Resolution 1244.

Independence and the international law

The internationalization of Kosovo's issue resulted in its declaration of independence on 17 February 2008. This act has been commented differently by various international interlocutors. Most of the EU countries including the US have recognized Kosovo's independence and its sovereignty, by considering it as a specific case. On the other hand, countries such as Serbia, Russia, China, Slovakia, Spain, Romania, were against this declaration of independence, reasoning such an act violates the international law. They viewed this act as a potentially dangerous move, which could negatively impact other countries, in terms of it potentially being used as a precedent for other disputed regions or territories in the world for declaring their own independence. Serbia called the declaration of independence of Kosovo as illegal and asked that the Independence of Kosovo should be tried at the International Court of Justice (ICJ), aiming at preventing further recognitions. On 22 July 2010, the ICJ announced its final verdict on the declaration of independence as follows:
the international right for peoples does not obstruct the breakup the general international right for the peoples does not have any provision obstructing the declaration of independence

The Authors of the Declaration of Independence did not violate any of the international laws the Resolution 2144 does not obstruct the declaration of independence the independence is not in violation of Constitutional Framework of Kosovo

Based on these items, ICJ concluded that the international law was not violated by the Declaration of Independence.[290] In Kosovo's case the subject of the right for self-determination (or the holder of the self- determination right) was divided from the sovereignty subject (or the holder of sovereignty right).

Conclusion

In conclusion it can be said that the lack of preparedness of the Serbia side to include Kosovo's minority as an important and respected element of political, social, cultural, and economic sphere remained within Yugoslavia led to the degradation of Kosovo Albanians considering them as second class citizens and as a result between ethnic Albanians and the Serbian state the deep gap was created. This tension peaked in the 1999 war when the Serbian state besides killing expelled over 1 million ethnic Albanians from Kosovo that prompted Kosovo Albanians to categorically refuse the return of sovereignty of the state of Serbia in Kosovo, and subsequently they declared independence. Serbia claims that Kosovo is the heart of Serbia taking into account the monasteries and churches cannot be justified.

From what we have said above, the history of mankind, different countries were exposed to various civilizations and cultures from different Emperor and rulers. But this does not mean that those countries should have repeatedly claims on those territories.

However, the state-building process in the Balkans has been greatly exposed to the impact of the great powers. "Foreign impact of the Great Powers has played a determinant and arbitrary role in the creation and status of the Balkans states.

The constant repression exercised by Serbia towards Kosovo Albanians was one of the key reasons that the latter categorically refused the return to the sovereignty of Yugoslavia or more specifically Serbia's sovereignty. In conclusion, Kosovo had fulfilled all the preconditions of the right to self-determination prior to declaring its independence: the preconditions of the Uti Possidetis and ethnic principles. Majority of the people of Kosovo

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[290] See the opinion of the ICJ regarding the Kosovo declaration of independence.

were in favour of independence for their land. They accept their new state and its democratic institutions. The independence of Kosovo is recognized by majority of United Nations countries. Based on what is stated in this paper we conclude that any other solution would be unjust and in violation with the will of its people.

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THE ROLE OF THE FEDERAL SYSTEM ON THE STRUCTURE AND OPERATION OF POLITICAL PARTIES IN ETHIOPIA

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Abstract

Federalism in Ethiopia has contributed for the democratization process by giving due consideration to the hitherto marginalized groups and by addressing the country's age-old problem of national question. The adoption of the federal system of government was meant to provide a proper balance between the centre and regions. In principle, the multiparty system strengthens the functioning of federal structures in a democratic society. The division of power at different levels of government can be made more equitable and fair in a country with competitive party system. However, in Ethiopia, contrary to this well-established principle, there is a strong centralised party with overarching control of government at all levels of government. Besides, there is a lack of clear line between party and state. These, together with lack of strong opposition parties, are against the existence of a genuine federal system. Although it is positive that all the parties recognised the need to maintain the federal system, in practice opposition political parties have stand against some of the major pillars of the system such as the ethnic component of the federal system and right of ethnic groups to self-determination up to secession.

Theoretical Overview
The link between federalism and political parties

Watts (1998: 127) maintains that "understanding the establishment, operation, and evolution of federal systems requires an examination of more than the formal constitutional and governmental structures. The functioning of the formal and institutional framework is dependent on the underlying political, social and economic structures and the roles played by actors such as political parties. The structure of party systems and the role played by political parties are important determinants of the functioning of federal systems (Riker, 1964: 129; Watts, 2008).

Riker (1964:129) asserts that "The federal relationship is centralised according to the degree to which the parties organised to operate the central government control the parties organised to operate the constituent governments. For Riker, constitutional guarantees for separation of power are ineffectual when leaders of a single party control both the center and the regional parties (Riker, 1964:130). For instance, in the USA, the political parties have a highly decentralized organization; in Canada, the federal government is controlled by polity-wide parties, while the regional governments are controlled by provincial parties without any national base, and elections to the two levels are held on two different dates. Therefore in both countries, these conditions make both federations relatively decentralized (Watts, 2008). Watts (1999: 75) stresses that political parties and the political party structure affect the degree of decentralization within federations. Watts (1999: 91) recognizes four aspects in this regard: "(1) the organizational relationship between the party organizations at the federal level and

provincial or state party organizations, (2) the degree of symmetry or asymmetry between federal and provincial or state party alignments, (3) the impact of party discipline upon the representation of interests within each level, and (4) the prevailing pattern of political careers". Therefore, measuring the degree of federalism requires measuring the degree of party centralization.

The viability of ethnic party system

There is a significant debate among scholars about the merits of ethnic based political parties. Many scholars have a negative view about mono-ethnic parties (see, for instance, Binda and et al, 2005:15). Critics stressed the strong emotional quality and zero-sum competitive logic associated with ethnic base parties (Hislope, 2005; Hicken, 2008: 74). The typical feature of such parties is an electoral strategy to "…mobilize its ethnic base with exclusive, often polarizing appeals to ethnic group opportunity and threat…electoral mobilization is not intended to attract additional sectors of society to support it… overall contribution to society divisive and even disintegrative." (Gunther and Diamond, 2001), quoted by Bogaards (2008: 49). By appealing to electorates in ethnic terms, by making ethnic demands on government, ethnic parties may help to deepen and extend ethnic divisions (Horowitz, 1985: 291; Miller, 2006; Binda and et al, 2005:15).

On the other hand, however, others scholars dispute this negative assessment of ethnic parties, and maintain that such parties provide opportunities for interest articulation to groups that might otherwise be excluded from the political system (Randall, 2008: 256). And exclusion often led to ethnic rebellion against the state (Birnir, 2008: 165). Proponents argue that democracy works best when societal cleavages are recognized as basic to political life (Lijphart, 1984). The famous argument of consociationalism is that ethnic parties help diminish conflicts by channelling demands through legal channels, particularly if all significant groups can be represented proportionately in state institutions (Ibid).

Furthermore, in Africa, despite official ban from political life ethnic nationalism has proved a potent political force (Mohammed Salih and Markakis, 1998: 7; Ishiyama and Quinn, 2006). Indeed, one feature of African party system is the change towards the formation of regional, quasi-ethnic and religious parties (Mohamed Salih and Nordlund, 2007:144).

It is safe to argue therefore that rather than banning ethnic parties, multiethnic states should focus on using different approaches to promote inter-ethnic cooperation and coalition building. Indeed, even Binda and et al (2005: 17) reminds us that it is important, particularly in the transition from dictatorial rule, that all groups in society be allowed to mobilize freely. In reality, democratization opens a window of opportunity for the mobilization of old and new grievances, including ethnic ones (Alonso and Ruiz-Rufino, 2007). Some also suggest that ethnic party systems might even improve democratic quality (Birnir, 2007). Mohammed Salih argue that, "One of the main consequences of the denial of ethnicity is that African ethnic groups are thus deprived of the opportunity to secure recognized collective rights that would enable local governance institutions to take a more active role in democratizing state and development" (2001: 29). He further argues, "…without assigning ethnic groups a greater role in Africa's economic and political transformation, the new initiative on development and democracy are doomed to failure." (2001:31).

Bogaards (2008: 60) also asserted that even in a country with a history of conflictual ethnic party politics, a ban on ethnic parties is not the best remedy: 1), many countries with such bans ultimately stop enforcing them; 2) secondly, party bans may be effective only in the short term; 3) thirdly, ban of ethnic parties is a negative one and will not by itself result in the desired national integration; 4) fourthly, evidence shows that ethnic party bans have been used selectively against national minorities and opposition forces; and 5) bans on particularistic parties limit freedom of expression and deny ethnicity a legitimate place in politics. Randall

(Randall, 2008: 25) rightly argues that it might rather be more productive to develop some form of federalism. Federalism provides a framework within which ethnic parties coexist with national parties (Ghai, 2001), as is the case in India (Karthori, 1996).

Federalism and the views of political parties in Ethiopia

The EPRDF and the federal system

Riker (1967), cited by McKay (2001) asserted that the key requirement for a balanced federal system is the maintenance of a decentralized party system. Riker measures party centralization according to: (1) whether the party that controls the central government also controls the regional governments, and (2) the strength of party discipline (Ibid). In fact, let alone in territorially based politics, in all societies considerable attention has been focused on where power lies within parties because of the crucial role of parties (Heywood, 2002: 257). Thus, the organization and structure of parties provided vital clues about the distribution of power within society as a whole (Ibid). For Schiavon 83 (2006), meaningful federalism requires not only the existence of federal institutions but also conditions, such as party fragmentation, that enable local institutions to exercise actual power and resist their national counterparts (Schiavon, 2006).

As indicated before, the main objective of the federal system in Ethiopia is to deal with the two interrelated issues: one, to resolve the question of nationalities, and second, to democratize the Ethiopian state and society. The hitherto unitarist and assimilationist policies were considered as the roots of Ethiopia's political crisis. When it comes to implementation of the policy of federalism, however, controversies surfaced. Critics and opposition parties pointed out host of shortfalls. Below, the major obstacles mentioned as "roadblocks" against the realization a genuine federal system will be highlighted. 1) The first problem is centralization of the party system: Based on the discussions I have on theoretical part, it can be argued that regional governments in Ethiopia have less ability to act as "veto players" (Stepan 2004) and constrain central government, as both levels of government are run by the same party. As Elazar (1987: 178) points out, "the existence of a noncentralized party system is perhaps the most important single element in the maintenance of federal noncentralization". In contrast, in Ethiopia EPRDF leaders at the center can use organizational and ideological means to discipline party members at the regional level. Thus, the ability of regional governments to offer effective opposition to the central authorities is low. In fact, so far no regional state has ever challenged the decision of the central government for whatever reasons.

Another most frequently cited criticism is the principle of 'Democratic Centralism', the principle to which EPRDF adheres. In theory the principle has both democratic and centralist aspects. The centralist aspect is seen through the subordination of all lower bodies to the decisions taken by higher ones. The democratic aspect of the principle is asserted in the fact that the highest body of the party is its congress to which delegates were elected by lower levels of member parties. Also, individual members have freedom to discuss and debate matters of policy and direction. But once the decision of the party is made by majority vote, all members are expected to uphold that decision. Its purpose is to eliminate factionalism and ensure party discipline. It is a belief in a 'correct' line that, once agreed up on, cannot be contested. This practice is supported by the practice of Gim gima (evaluation), which serves as an institutionalized mechanism to discipline party members (Lovis 2002: 87).

The Ethiopian situation, therefore, qualifies both of Rikers's variables of measurement of federal centralization: the party controls both the center and regions, and there is a rigid party discipline. Based on this, it is safe to argue that there is a mismatch between the democratic pluralist elements of the Constitution and the Leninist political principle of democratic centralism under one party dominant system. The organizational set-up of the EPRDF does not allow internal pluralism or factionalism to ensure the representation of societal interests as diverse as the social make-up of the country. Factionalism would have

guaranteed the competitiveness of the system and compensates for a lack of strong opposition parties. As Spieb (2002: 26) indicated, factionalism and internal pluralism helped the Indian National Congress to "enhance its capacity to channel and co-ordinate conflicts, and guarantee a high degree of elite turnover and informal internal democracy."

Another, perhaps more serious, problem is absence of clear line between state and the party, which is almost inherent in one party dominant systems (Spieb, 2002: 25; Elischer, 2008: 9). Most opposition parties consider this as the most serious challenge for both democratization, consolidation of the federal system, and long-term federal stability. In addition to the problems it creates on the democratization process and devolution of power, this condition imply that party crisis or a change of the government may lead to state collapse (Young and Medhane, 2003: 391).

In summary, therefore, party system centralization, democratic centralism, the blurring of the line between party and state and for whatsoever reasons absence of strong opposition party are obstacles to the institutionalization of the federal system in Ethiopia. In view of this, it is expected that the central government will have much more power than provided by the Constitution, which would make the center more dominant and undemocratic. Hence, the view that federalism is a disguise to conceal the fact that government throughout the country is still in the hands of the central leaders. The strikingly uniformity in policy throughout Ethiopia may attest this claim. A fully fledged democratic federal system would have guaranteed states independence in some policy areas (Stephan, 2003:11).

The opposition and their views about the federal system

It is interesting to note that almost all opposition parties in Ethiopia have included the issues of federalism and ethnic accommodation in their political proragrmme. Clearly, this is the impact of the federal system on the progarmme of political parties. Those formerly seen as being centrist gradually began to advocate federalism and ethnic accommodation as the most fundamental political questions. Even Diaspora based parties such as EPRP espoused rights of nationalities to self-determination and federalism (EPRP, 2006). Ethnic political parties in Ethiopia have quite similar programmes with that of the EPRDF regarding federalism and self-determination, save that most ethnic based parties reject secession. The 'Forum', (the single largest opposition coalition) for example, advocates an ethnic based federalism. It also argues that sovereignty of the Ethiopian state lies on the nationalities of the country. Besides, the 'Forum', like the EPRDF, believes that both individual and group rights can and should be protected simultaneously. This similarity is applies to other ethnic-based parties.

On the other hand, the constitutions of multinational parties, although enshrines federalism, the equality of all languages, the equality of all nationalities in the political, economic, and social spheres without discrimination, they, rejected ethnic-basis of the federal system. For instance, UDJ and EDP favours primarily other factors, although language could be taken as one factor, such as historical and cultural ties, geographical size, historical reality, economic rationality, and administrative feasibility or efficiency. These parties give primary emphasis to individual rights. They argue that the question of nationalities can be addressed only with promotion of individual rights, good governance and fair distribution of the national resources.

Whereas the EPRDF argues that the single major question for the crisis of the Ethiopian state was the national question, multinational parties attest that the question of nationalities is only one among the fundamental questions and hence the federal system should be designed to deal with all these problems, not merely the question of nationalities. They lament that the current arrangement has lead not only the creation of artificial regional states with wide discrepancies in population, geographic size, and development, but also undermined the rights of individuals. In this connection, they accused the ruling party of promoting the

diversity existed within the Ethiopian Peoples and ignored all other variables vital for federal stability. They also condemned the ruling party of consciously encouraging ethnicity based organizations, including in the sphere of civil societies.

Another bone of contention is issue of secession as stipulated in Article 39 of the Constitution. Almost all opposition parties do not accept secession. They believe not only that the problems of Ethiopian people do not emanate from living together, but also it is difficult to implement it peacefully. In general, both multination and ethnic based opposition parties have two common views. First, having considered the current system as an imposition, they want the public to decide on the issue through referendum. Second, they challenge that the policy of federalism is not genuinely implemented as enshrined in the Constitution.

Structure and functioning of political parties
Opposition parties

As explained before, a federal system presents political parties with opportunities. As per the theory, by creating multiple important sites for political organization and competition (Brinzik, 1999), each with constitutionally guaranteed autonomy in at least some policy areas (Riker, 1964), federalism gives parties the opportunity to compete and capture offices in both levels of government.

In Ethiopia, some opposition parties argue that since the political space is much narrower in the regions, they face difficulties in their attempt to hold power at the regional level. Besides, multinational parties claim that federalism is being abused to exclude the opposition, especially those multinational ones, in the sense that there is direct and indirect propaganda against these parties as if they are threats to the federal system and the rights of the nationalities to self-determination. Indeed, during the 2005 elections, some peripheral regional states openly indicated that if the CUD was going to win the election at the federal level, they will secede from the Ethiopian state by invoking Article 39 of the federal constitution. In practice so far ruling party controls all levels of government in the Ethiopia.

Some effects of federalization process on political parties are also observed in the areas of candidate selection and party organization in the case of multinational parties and ethnic based coalitions. In my view, this negligible level of decentralized decision-making process that exists in some of the parties is mainly due to an attempt to internalize federalist considerations into the decision-making than commitment to democracy. The ethnic based federal structure appears to have forced them to depend on local party members for elections at local levels for both attracting voters and because of the language requirement of the electoral law. But this is still under the discretion of party leaders at the national level. Personalism is the typical feature of the leadership style of political parties. Under such circumstances, legislators cannot become more accountable to regional and local interests. Generally, there is no sufficient recognition by parties to deal with multi-level activities. Besides, since there is no separation of national elections from regional elections in Ethiopia, the system failed to foster greater autonomy of regional party organs.

The principal effect of the multinational federation in Ethiopia is on the mobilization of parties. The federal system has created institutional space that has encouraged the formation of ethnic parties, which compete mostly in local and regional elections. Currently, almost 90% of the parties are ethnic-based/ regional parties (NEB, 2011). As we know, many countries ban ethnic parties, and in some countries party regulations even go further to the extent of stipulating incentives for aggregation (Binda and et al, 2005:17; Bogaards, 2008: 54). For instance, distribution requirements can be used during registration, compelling parties to have an organizational presence across the country. In Ethiopia there are no such limitations.

Critics argue that the law favours ethnic party system to the detriment of multiethnic party development. In my view, that is not explicit in the law. The intention even seems to

ensure wider representation. A party, although not requested to demonstrate "national presence" by running branches across the country, is required, for registration, to collect a minimum number of signatures from a given numbers of regions. But, the fact that they federal system is based on ethnicity, and that self-determination is given to all nationalities means there is an implicit encouragement for the proliferation of such particularistic parties.

The EPRDF and its internal cohesion

Organizationally, the ruling EPRDF is a "front founded by the union of revolutionary democratic organizations" on the basis of "equality". Member organizations have no separate ideological life. All EPRDF's four member organizations are obliged to implement national 'revolutionary democratic programmes' in their respective states taking in to account their local conditions and realties. The congress, which comprises equal number of representatives of member organizations, is the highest body of the front. The council, comprising equal number of central committee representatives of member organizations, adopts policies and other relevant issues; and plans activities of the front. The executive committee, which includes nine members from each member organizations, implements the decisions and guidelines of the council. The chairman chairs both the council and the executive committee of the front. As discussed before, the major organizing principle of the Front is 'Democratic Centralism'.

The EPRDF appears to qualify what Gunther and Diamond considered as a congress party. For Erdman (2007: 23), in most of African countries the ethnic congress party is the most common, as there are many small ethnic groups that cannot constitute a meaningful representation in parliament unless they form a coalition. In Ethiopia too no single ethnic group can form a single majority government unless coalitions with other ethnic groups are formed. However, the ruling party is not institutionalized well and the influence of the founder leaders and party discipline makes the party more of personalistic. This client-patron relationship was evident, for example, during the TPLF split in 2003; those who opposed the group led by the Prime Minister including the regional presidents were thrown out of government (Young and Medhane, 2003).

Given the ethnic diversities in Africa and Africa's lack of an industrial revolution, the integrative party is the closest to the model of the 'catchall' party found in the western world (Ibid). The EPRDF looks more as multiethnic alliance (or to use Horwotize's (1985) word, coalition of convenience, not coalition of commitment), than a multiethnic integrative bearing in mind the evolution of its member parties. Distinguishing the alliance type from the integrative type when that the party under scrutiny is the ruling party might be difficult, given its capacity to use state resources to buy political support in order to stay in power. Given its ability to do this at any time, therefore, the EPRDF might appear to be internally stable. A better indicator here might be the composition of the cabinet rather than party leadership (Elischer, 2008: 10). There is a tradition of allocation of federal offices among the member parties of the EPRDF. The problem, however, is that some of the members parties are not seen as representatives of their respective ethnic communities, but as puppet. Besides, there is no specific quota for each party; it is the discretion of the Prime Minister.

Conclusion

It is clear that not only ideological orientation but also political necessity that required the establishment of a democratic federal system as a framework for resolving the national question and democratizing state and society. The political history of the country and the condition in the immediate aftermath of the demise of the military regime necessitated addressing the ethnic diversity, by recognizing ethnicity as a major principle in the restructuring of Ethiopian state. Full recognition of ethnicity's role in the politics and

emphasis on rights of self-determination are commendable, owing to the country's unique problems and also due to the fact that the "blocking" ethnicity was sustained at a significant cost (Andreas, 2003). Indeed, unrelenting focus on individualism of the liberal tradition is often criticized in Africa, where group and community rights are deeply embedded in the cultures of the peoples (Mutua, 2008). In Ethiopia, the multiethnic federation creates opportunities for regional voices to be heard and enables ethno-regional issues to have greater political relevance.

Allowing ethnicity a place in politics could be seen as positive step towards empowering the ethnic groups and this might be seen as better step to secure collective rights and enable ethnicity to take a more active role in democratizing state and society. In a country like ours where the introduction of a new multi-party system is after years of one-party rule or dictatorship, ethnic parties may be tolerable. Besides, in the Ethiopian case, ethnic minority groups have mobilized and engaged in conflict prior to democratization. Thus, rather than banning ethnic parties, using strategies such as power sharing and promotion of cross-cultural integration is important to offset the potential demerits of ethnic party systems. What are currently missing are regulations that encourage ethnic parties for coalition building. This led critics to suspect that the EPRDF, as an ethnic-based party coalition, has been encouraging, at least indirectly, the fragmentation of the country's party system. Indeed the government so far fails to the use of different approaches and strategies for the promotion of cross-party integration such as the use of electoral formation rules that require parties to demonstrate a broad organizational base. This can encourage cross-party cooperation by making politicians from different parties reciprocally dependent on transfer votes from their rivals. We can also think of other incentives such as priority or larger share in government funding and others benefits.

It is good that all major political parties in Ethiopia have a consensus on the need that Ethiopia should remain a federal state. This consensus should be expanded to other provisions of the constitution. The prevailing mutual mistrust and lack of tolerance between the ruling party and the opposition continues to raise questions on the prospects of long term stability of the federal system. Political parties on both sides of the spectrum need to show deep commitment in theory and act to the realization of a full-fledged democratic federal polity. True, the success of federalist project depends on the success of development of federal political culture. Elazar stresses (1987: 78) that, "True federal systems manifest their federalism in culture as well as constitutional and structural ways" and "the viability of federal systems is directly related to the degree to which federalism has been internalized culturally within a particular civil society." Moreover, as Watts stresses, federalism requires a democratic culture with "recognition of the supremacy of the constitution over all orders of government." (1999:99). Here, it is also necessary that only those parties which have faith in democracy and the constitution should be allowed to function. A party that expresses its intention to use violent and insurrectionary methods should be avoided.

However, there are serious problems associated with the party system. Not only they are weakly institutionalized and lack democratic internal functioning, but they are highly polarized. Therefore, the absence of consensually unified national elite is the major road-block to democratic deepening and federal stability in Ethiopia. This apparently impedes the achievement of development of culture of dialogue, tolerance, and accommodation.

As argued before, centralized party structure and lack of democracy are major challenges to the institutionalization of the federal system in Ethiopia. As argued before, the success of a federal system necessitates the existence of democratic institutions to deliver the promises and expectations of federalism such as autonomy and popular participation. In fact, Ethiopia has not yet completed transition, let alone democratic consolidation. Speeding up the democratization process is indispensable and the best guarantee for federal stability.

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CONTEMPORARY ARTISTIC PRODUCTION AND REVOLUTIONARY PROCESSES IN TUNISIA

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Abstract

Focusing on contemporary artistic production and on the case of Tunisia, the article aims to understand how some change dynamics have partially been narrated by artistic creations during the years before Ben Ali' s fall in 2011. Considering how the new media and the activism of the civil society have indirectly contributed for years to the change dynamics, being "underground" and "informal spaces" for learning *social alternatives*, the idea here is to observe how the artistic production has become sometimes a strategy of resistance and emancipation especially for the youth. A part of the artistic creations had already expanded, both at a visual and at an imaginative level ,the narrative spaces able to talk about alternatives, and to talk about ideas of freedom and dignity and social justice (afterwards at the core of the revolutionary processes). This interdisciplinary work, with   a main anthropological approach, aims to understand how some artists, with their works, have gradually and semi-clandestinely contributed to narrate their daily life, to denounce the daily injustices and to spread an *imaginary* which has been at the core of the upraising. Among others, the lively and diversified   *underground* youth or the alternative scene of young musicians, but also few artists internationally known, had expressed a dissent and a will for action that both deserve attention.

Even now, in the actual delicate and difficult phase of transition, the artistic creations, especially the artistic movements of the youth, are exemplary contexts for understanding the degrees of maintenance of the public space and of actual practices of participation.

Keywords: Contemporary artistic production , revolutionary processes , Tunisia , imaginary , resistance

Introduction

In this short contribution I'd like to focus on two main aspects. The first one concerns the attention to a serious investigation about the artistic production before 2011 in Tunisia, as being a cultural important context where some change dynamics had been expressed and narrated since several years. By means of art some actions of protest, militancy and resistance had been achieved and they might be considered among the seeds of the uprisings. Such an analysis might concern many Arabic countries but I will focus here on Tunisia, because of its social and political specificity[291] and because it was the first Arabic country able to revolt.

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[291] With reference to my interdisciplinary research with a main anthropological approach, investigating the social and cultural change processes n Maghreb, starting by the daily living experiences of the youth and the identification of their informal spaces of education to "cultures for change", I focus here on the part of the research concerning Tunisia. The anthropological research on Tunisia included a first fieldwork in 2006. During the years, many other fieldworks, as well as in-depth interviews with privileged witnesses, were achieved and a fundamental part of the research on the recent revolutionary processes started in April 2011.

As anybody knows, 17th December 2010 or 14th January 2011 cannot be the dates of the real epochal change that have crossed Tunisia (and afterwards many other Arabic countries) since the change dynamic started a long time before. Actually, we have to consider several factors and several practices of resistance and daily militancy which had been acting for years and which had an impact in the long term, up to the concurrence of the "always wished" but totally "unforeseen" event of the "revolution".[292] It has been very well analysed and debated that the new media and the civil society have constituted, for the youth, underground places for learning social (much before than political) alternatives. In other words, the new media and the civil society have functioned, for this well-educated youth, as "spaces for the construction of the change dynamic" and "spaces for learning alternatives" . The idea of this paper is to underline how, together with the new media and the activism of the associations, the artistic production had already announced this gradual process of transformation that was taking place in the society.

An attentive investigation would have shown how the artistic production in Tunisia had already expanded, at a visual and at an imaginative level, both in esthetical and in hermeneutical terms, the narrative space able to talk about revolutionary alternatives.

Besides, even now, in this critical and delicate phase of transition, the artistic creations are stimulating workshops where to experiment and to observe change dynamics.

 The aim of this research is to go back to the analysis of the artistic production, especially during the years before the revolution (and at the end, up to now) in order to comprehend when some artistic creations became signs of strategies of resistance and emancipation.

In fact, an in-depth analysis shows us a whole world of video, photos, websites, installations, paintings, sculptures, graffiti, films, music, theatrical performances, offering us views "from the bottom" and intimate visions on a changing society and a changing youth. The art (that during the revolution finally appeared visibly in the street) had worked for years in an underground way, being an original way of narrating the daily lives and talking about a certain idea of beauty and dignity. Therefore, we dare affirm that some reflections about art in the context of the Tunisian revolutionary process might help to understand some wedges of these complex social and cultural dynamics.

Main Text
Exploring the possible and calling for the unforeseen by art
Several precious analyses concerning the revolutionary process in Tunisia, during the last three years, have mainly focused on the social militancy[293] and the comprehension of

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[292] I will not enter now into the specific debate around the use of the words "revolution", "revolt"or others. Instead, I would like to remember that "revolution" has been the word used by the actor s themselves at the core of the change processes. In this contribution, I will often choose for the word "revolutionary processes", stresings the point on the nature of the dynamics and the idea of very long and still on-going processes On this debate see: Merlini C., Roy O. (dir.), *Arab Society in Revolt. The West's Mediterranean Challenge*, Brookings Institution Press, Washington, 2012; Filiu J. P., *La Révolution arabe. Dix leçons sur le soulèvement démocratique*, Fayard, Paris, 2011; Lynch M., *The Arab Uprising: The Unfinished Revolutions of the New Middle East*, PublicAffairs, New York, 2012; Gelvin J., *The Arab Uprisings: What Everyone Needs to Know*, Oxford University Press, Oxford, 2012; Corrao F., *Le rivoluzioni arabe. La transizione mediterranea*, Mondadori, Milano, 2011; Ben Nefissa S., Destremau B. (dir.), "Protestations sociales, révolutions civiles. Transformations du politique dans la Méditerranée arabe", *Tiers Monde*, Hors-Série, 2011; "Révolutions: le réveil du monde arabe", *Moyen-Orient*, n. 10, Avril- Juin 2011.

[293] Veirel F., *Social Movements, Mobilization, and Contestation in the Middle East and North Africa*, Stanford University Press, Stanford, 2011; Camau M., Massardier G., *Démocraties et autoritarismes fragmentation et hybridations des Régimes*, Karthala, Paris, 2009. ; Ben Nefissa S., Destremau B. (dir.), *Op. cit.*, 2011. On the Tunisian contetx seeCamau M., Geisser V., *Le syndrome autoritaire. Politique en Tunisie deBourguiba à Ben Ali*, Les Presses de Sciences Po, Paris, 2003.

how some spaces, such as those of the civil society (women's associations, human rights' associations, students' movements, Labour Unions and many others, even the most hidden and clandestine ones) were constantly menaced by the regime and yet became spaces where people sometimes learnt what I'd like to name "cultures for change". Some other researches have underlined the role of the new media and the social networks in the change dynamics that brought to the uprisings. I actually take into great consideration all these contributions and I propose here another, more marginal, path with the aim of understanding how a part of the revolutionary processes might have found some "frames of reference" also within the artistic movements[294].

I 'd like to start by the idea of art as exploration of the "possible" and *ouverture* to the "unforeseen" or to the new and I think there are several examples of artistic creations which acted as forms of resistance to the power and had an impact, in the long term, on the individual and collective imaginary.[295] In fact, to be able to act and to achieve a strong rupture with the past we have to be able, first of all to simply imagine.[296] We can find some examples of artistic productions that contributed to forge the imaginary and the "imagination of a possible or an alternative" among some Tunisian artists internationally known, who used their relationships with the international context in order to express, by their artistic works, their denunciations of the daily reality or their original points of view on the deep transformations of their society.   At the meantime, we find some other examples among the so-called "alternative culture" and the *underground* artistic scenario of the youth : a form of militancy and artistic resistance which, in Tunisia, gradually occupied a place at a local and a national level.

One of the main idea at the core of this anthropological analysis is that in Tunisia we are facing more than a "revolution" some long and delicate "revolutionary processes" that had their origin in slow and underground dynamics, much before 2010 and 2011, and that have to be studied in all their complexity and their on-going nature. On one hand, in-depth anthropological researches and ethnographies were and still are very important instruments and contributions if we want to understand the daily life of the youth (their feelings, fears and desires) and their continual interactions with mobile imaginaries, new media, ways of social participation from the bottom, etc. On the other hand, we cannot forget that an intellectual and artistic rich production has been representing the daily lives of the Tunisian society during the past years, feeding people's imaginary and building narrative spaces from where the youth have drawn off images, ideas and attitudes.

The few researchers who had already studied this phenomenon[297] were narrating, since a long time ago, about an original and imaginative creativity of the Tunisian youth and about important processes of transformation within the population. Perhaps, we should go back to all that and deserve it a full attention.

In our European contexts, for many years, the cultural policy has not been always so serious and it has been quite difficult to have access to the daily life analysis and the life histories narrated by the rare, and yet existing, ethnographies "by those who really knew the

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[294] Gandolfi P.,*Rivolte in atto, Dai movimenti artistici arabi a una pedagogia rivoluzionaria,* Mimesis, Milano, 2012.

[295] [295] *Cfr*. Clair J., *La responsabilité de l'artiste. Les avant-gardes entre terreur et raison*, Gallimard, Paris, 1997.

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[296] Anderson e altri

[297] P. Gandolfi, *La sfida dell'educazione nel Marocco contemporaneo. Complessità e criticità dall'altra sponda del Mediterraneo,* Città Aperta, Troina 2010, p.185.

spoken Arabic languages and went much beyond the threshold of the superficial".[298] Similarly, the access to the several narrating spaces of the contemporary artistic and cultural production has been quite complicated and infrequent.

With such premises, it is meaningful observing how the Tunisian artistic production had narrated and still narrates the change processes and the thousands of small daily uprisings which slowly made up the big uprisings .But it also important to understand how this artistic production, which finally became visible thanks to the revolutionary processes, had been mainly invisible and hidden for a long time. While a main part of the European society wasn't knowing,if not partially, the philosophers, the writers, the video-artists, the bloggers, the singers, the musicians, the poets, the film-makers of Tunisia (and it happened in a similar way in other Arabic countries) , the Tunsian society was knowing them and was taking possession of their ideas, imaginary and messages

So, it might be affirmed that the uprisings finally showed us an original creativity and an artistic innovation which, together with other factors, contributed to the genesis of the change.

If we just have a look at the language used by the people during the revolutionary process, we might find slogans, shouts, national hymns, dances, chants, ancient and actual verses of poems (such as –among the others- those of the Tunisian poet Abu Al-Qasim As-Shaabi[299], afterwards shouted in many other protest manifestations, from Egypt to Yemen and Bahrein) which are the signs of all that. In other words, the revolutionary process in Tunisia showed not only the strength and the popularity of these verses by As-Shaabi but at the meanwhile a spontaneous and young language, both civil and pacific, able to invent words and images, symbol of the creativity of the social actors within a new configuration of the society where the local, the national and the transnational cohabit.[300]

Now, going back to the concept of "aesthetic negativity" by Christoph Menke we know we can conceive the artistic works for their distance and their negative relation to what is not art, in other words considering the art is " contradiction, rejection, negation""[301].Here is the power of the art (a film, a music, a novel): its esthetical reason is able to go further than the ideological reasons, acting beyond the regimes of power and knowledge   Not being reality", the art makes us understand very much about reality.

If we had analysed in depth the artistic productions during the last 10 or even 5 years before 2011, we would have found they had been powerful frames for the emotional universe of the revolutionary processes. Some artistic forms had actually cultivated new imaginative geographies where the ideas of freedom, dignity and social justice were already at the core (before becoming the three main ideas of the revolutionary process).[302]

Nowadays, if we think about history as a "process of sudden revolutionary instants" (as Walter Benjamin suggests us[303]) we might consider that a part of the population is strongly conscious of being able to interrupt again the "continuum" of the history . The artistic expression still plays a role in this dynamic, as much important as the role it played in the phase previous to 2011, even if with different modalities and frames of reference.

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[298] *Cfr.* Mohsen Finan K., Vermeren P., "La France ne se donne pas les moyens de connaitre le Maghreb", *L'Express*, 2 Février 2011. Si veda: www.lexpress.fr/actualite/monde/afrique/la-france-nese-donne-pas-les-moyens-de-connaitre-le-maghreb_958019.html.

[299] Abu Al-Qasim As-Shaabi is a famous Tunisian poet born in 1909 and dead in 1934.

[300] According to Mohamed Kerrou, an example of this creativity is offered by the "word-gesture-image" of the famous "*dégage*" addressed on 14 th January 2011 to the President Ben Ali.

[301] *Cfr.* Menke C., *the Sovereignty of Art. Aesthetic Negativity in Adorno and Derrida* (1988), the MIT Press, Cambridge-London, 1998.

[302] Gandolfi, P., *Op .cit,* 2012.

[303] Benjamin W., *Tesi di filosofia della storia* (1940), in Idem., *Angelus novus. Saggi e frammenti*, trad. it. di R. Solmi, Einaudi Torino, 2006, pp. 75–86..

The possibility for the artists to promote and to spread imaginaries that might have an influence on the action of the society has been investigated in many different contexts[304]. Within this context, the artists should be expression of an artistic research, a movement towards spaces not yet explored and controlled, spaces open to "the possible", and to "the new".

In the contemporary Tunisian context, the power of the word spread by the music and by the song, for example, has been accompanied by the impact of the images multiplied by the contemporary new media. In such a way, in many occasions, the artists had become the pre-monitors or the mouthpieces (*port-paroles*) of those who were not able to speak Thanks to their autonomy in the exploration of the possible, the artists are part of a movement for themselves and for the society.[305].As we know, the role of the so-called "avant-garde" is in fact to desire, to call for a change, call for an uprising, somehow hoping the society will one day give form to this call.[306]

Especially during the past ten years the multiplication of the artistic forms of expression (very often the informal ones) had been important traces of an "ongoing change process" or even an already "on-going revolt". Sometimes the artistic works were forms of denunciations, sometimes they were narratives of a multitude[307] at the core of gradual transformation processes.

Moreover, the evolution of the modalities of representation and of the fruition of the artistic creations by the new media might be read in the perspective already suggested by Walter Benjamin in terms of "reproducibility of the artistic work"[308]. He was affirming that in this dynamic of the reproducibility of the image there was a revolutionary potential power connected to the fact that the artistic work was opening itself to the mass (at that time, he was mainly referring to the cinema and to the photography, while nowadays the discourse might include the web, the social networks, the videos, the video-installations)..

While the artistic work and the multiple ways of communication were opening to the mass, the forms of resistance in daily life at an individual level were multiple, even if quite invisible to the people. At the very specific moment when an individual tactic of militancy (normally kept at the margins, such as the extreme gesture by Mohamed Bouazizi in December 2010) has been finally shared, visibly, and circulated among the multitude, it was time for change.

Multiple tactics of militancy or the role of the imagination

During the years, the opposition to the injustice in Tunisia have taken several forms, very seldom connected to the political parties and seldom with and ideological connotation, Much more often, instead, they were tied to different forms of organisation of the civil society such as associations, students' movements, workers' movements, etc. In other words, different forms of resistance "from the bottom",[309] somehow facilitated by the essential role of the social networks as forms of communicating, investigating, producing knowledge spread among the youth in daily life, more and before than in specific forms of protests. Some

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[304]Rancière J., *Il disagio dell'estetica* (2004), ETS, Pisa, 2009.

[305] *Cfr*. Perrier F., *Op. cit.*, 2007., pp.160-161.

[306] *Cfr*. Perrier F., *Op. cit.*, 2007.

[307] *Cfr*. Hardt M., Negri A., *Moltitudine. Guerra e democrazia nel nuovo ordine imperiale*, Rizzoli, Milano, 2004;

[308] *Cfr*. Benjamin W., *L'opera d'arte nell'epoca della sua riproducibilità tecnica* (1966), Einaudi, Torino, 2011.

[309] *Cfr*. Veirel F., *Social Movements, Mobilization, and Contestation in the Middle East and North Africa*, Stanford University Press, Stanford, 2011; Camau M., Massardier G., *Démocraties et autoritarismes fragmentation et hybridations des Régimes*, Karthala, Paris, 2009. See also Ben Nefissa S., Destremau B. (dir.), *Op. cit.*, 2011. On the Tunsiian case see Camau M., Geisser V., *Le syndrome autoritaire. Politique en Tunisie deBourguiba à Ben Ali*, Les Presses de Sciences Po, Paris, 2003.

anthropological and socio-political researches had tried to investigate exactly this art of inventing tactics of survival and daily resistance[310], underlining how the creative power of the imagination had been able to have an impact on the marginal life histories of many individuals. Many young people were daily inventing tactics to survive in the margins, in the interstices.

Course à Ikhobza (a colloquial expression in Tunisian dialect that could be translated as "the bread race") is the key metaphor Hamza Meddeb has used to describe the daily anxiety that the majority of the youth population felt during the years and months leading up to the revolution. Through field research, he revealed that the youth had adopted many survival tactics. Faced with an authoritarian, clientelist, corrupt power, they tried to "implant themselves in the interstices, in the minimal margins left open by power,"[311] clearly hoping to "*jouer le pouvoir*,"[312] make a power play by strategically embedding themselves into the web of the informal economy, for example, using creativity and ingenuity. In this context, Meddeb identified a youth capable of reacting, rather than succumbing, prepared to recreate the minimal spaces left free from authoritarian rule. It was a youth that appeared ready and willing to reinvent the most marginal spaces available to them. But if on one hand the most excluded and marginalized were the first to "race" to invent spaces of action for "the bread race," on the other hand, after a while, many other young people chose their own personal "*course à Ikhobza*" by migrating. Still, altogether the focus was on a race, a take-off: the system had forced them to take on precarious work and they reacted with various races for survival[313].

So, we find tactics of resistance and militancy in the marginal spaces of daily life, we find several tactics of resistance in the field of the artistic creations: in both the imagination plays a fundamental role. The fieldworks, in both cases, show a component of creation, original inventiveness, and imagination[314].

As we said before, the contribution of the rare but serious anthropological researches is fundamental to understand the change process while it is growing and moving. At the same time, as we would like to stress the point again on the contribution of the artistic production in understanding social and cultural processes, underlining the Bakhtin's concept of the "dialogic imagination"[315]or "*indexical utterances*" (evoked   by Hamid Dabashi). According to this, by means of the "dialogic imagination" we take into account some others' words and images, giving them a new meaning.. That's why reading contemporary literature and contemporary poetry in local Arabic dialects, as well as watching documentary films and fiction films, listening to contemporary music and songs, might be very useful for the understanding of the anthropological context of a society.[316]

Within this perspective, Hamid Dabashi thinks that the poets, the writers, the filmmakers, the singers, the musicians, have been somehow the "theoreticians" of the

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[310] Cfr. [310] Hibou B., *La force de l'obéissance. Economie politique de la répression en Tunisie*, La Découverte, Paris, 2006.Camau M., Geisser V., *Le syndrome autoritaire. Politique en Tunisie deBourguiba à Ben Ali*, Les Presses de Sciences Po, Paris, 2003.

[311] H. Meddeb, L'ambivalence de la course à "el khobza". Obéir et se révolter en Tunisie, in "Politique Africaine", 121, 2011, pp. 35-54.

[312] M. de Certeau, *L'invention du quotidien. Arts de faire*, Gallimard, Paris 1980.

[313] Gandolfi P. "Spaces in migration, daily life in revolution" in *Spaces in Migration. Postcards from a revolution* (ed.by) Garelli, G.,Sossi, F., Tazzioli, M., London Pavement Books, 2013, pp. 7-26.

[314] Cfr. Gandolfi, P.Quali diritti? Il diritto di trasgredire e il diritto di re-inventare la propria storia. Frammenti di storie e di inedite rivoluzioni in Maghreb, "Deportate, esuli, profughe", 18-19, 2012, pp. 245-256.

[315] *Cfr.* Bachtin M., *The Dialogic Imagination. Four Essays*, Austin University of Texas Press, Austin-London, 1975.

[316] See among the others, concerning the films and their possible capacity of narrating about a changing society :. Silvestri, R. "Il cinema dei ragazzi Tahrirr"in ;*Micromega*, n.6, 2012, pp.40-54.

revolutionary processes. On my behalf, I believe they were mostly the "porte-paroles", the voices of many other young people, and they did it because they are what they are: simply :artists. They narrated their own desires, their own fears, their own dreams and many people had the same desires, fears, dreams Quoting Mark Levine's excellent research on the Muslim youth and the pop occidental culture (regarding many different Arabic countries),which was a rare investigation on the fruits and the contradictions of the encounter of the occidental influences, the Arabic-Islamic culture and the local cultures[317], it has to be underlined how he very well showed that the young musicians at the core of his research were the interpreters of what, in 2008, he called a sort of an already on-going "revolution". That's why looking back at these multiple forms of expression and resistance, which were acting since several years, might still help in reading the previous processes within a longer and wider change process and also reading the on-going processes, even if with all their indefiniteness and incertitude, in balance between shouts and whispers, urgencies and silences.

Artistic resistance and the encounter of different forms of militancy

Some of the artists have contributed to forge an imaginary and to shape an imaginative power of the Tunisian people. We can find two forms of artistic militancy: the artists who were educated as artists in Tunisia or abroad, they gained a certain international success and they were able to make advantage of their competences and of their international relationships in order to propose their narrative of the reality. Their views used to be intimate ones, revealing aspects of the daily life not necessarily observed and narrated by their many "political correct" colleagues. Sometimes, they were views of contestation, criticism and dissent, sometimes they were rare and unprecedented views on questions shocking and transforming the society. Quite often, they were point of view of an elite who was using a sophisticated language and moving among the institutional mechanisms of the fruition and diffusion of the art (art galleries, public halls for projection and exhibitions, mainly aimed to an elitist audience.[318].

The other form of artistic militancy was represented by the youth of the "alternative culture", acting in the artistic scene since several years and especially during the very last five years, and moving among the underground dynamics and the new media. Their language used to be incisive, popular, explicitly referred to the censorship, the corruption, the clienteles, the state of policy, the daily violence committed by the regime, the unemployment, and the misery of a huge part of the society. This youth used to denounce the injustice and the excessive use of power, but also used to express a wish and a will for change "from the bottom"[319].

During the phase of the revolution, not only these two different forms of artistic militancy came together, but they also met other forms of militancy and resistance promoted by workers, students, women, unemployed youth and many other citizens.

After the revolution in Tunisia, the interest of the international art exhibitions focused to the artistic dynamic that had finally become visible to everybody. Some of the art curators

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[317] *Cfr*. Levine M., *Rock the casbah! I giovani musulmani e la cultura pop occidentale* (2008), Isbn edizioni, Milano, 2010; See also Gandolfi P., *La sfida dell'educazione nel Marocco contemporaneo. Complessità e criticità dall'altra sponda del Mediterraneo*, Città Aperta, Troina, 2010, in particolare pp. 194-199.
[318] See the festivals of cinema and the contemporary art exhibitions trying to open themselves to a wider audience. See for instance *Le Printemps des Arts*, in La Marsa/Tunis and the Contermporary Art Biennal *Dream city-L'art rue*, Tunis.**www.lartrue.com; www.dreamcitytunisie.com**. See the special issue of *Archivio Antropologico Mediterraneo* concerning Arts and Revolutions in Tunisia. AAM Anno XVI (2013), n. 15 (1)
[319] *Cfr*. Gandolfi P., *Op. cit*., 2012.

were stressing the point on a phase of artists' "engagement"[320] following the so-called "degage!"phase. But, as we have already partially observed, most of the observers forgot that processes and forms of engagement were already occurring since several years. The point to stress once more is that for a long time these forms of "engagement" had been underground, informal, hidden, marked by the fear of the censorship, the menace of the torture, the violence of the police's reaction to any explicit form of denunciation. It would be difficult to mention here all the rappers, rockers, metal singers who had worked clandestinely in the very recent years in Tunisia and who tried, in all manners, to bypass the censorship and the controls, by using the web, the social networks, the use of informal spaces, the improvised recording studios, and so on. Nowadays, rappers' names such as El General, Balti, Psycho-M, Lak3y and many others are well-known even abroad. But the young people who were writing songs and music (declaring the injustices, the unfounded violence, the daily corruption, but also expressing their desires and dreams for a future of human dignity) were much more numerous. An analyse of their songs clearly show it. As an example we suggest to read the texts of Armada Bizerta, a group of rappers who use to sing since 2008 for a critical attitude, for the necessary wakening of the youth face to the reality, declaring the violence of the police, calling for a continual revolution (even after the revolution) and a constant resistance to the abuse of power and the lack of rights.

As the Tunisian poet Tahar Bekri has well stated, the very first revolutionary process was a "popular movement"[321], whose origin was at the periphery, at the margins of the country.[322]. Similarly, those who were accompanying and promoting the change process, also among the artists, were mainly the not recognised and not institutionalised ones, the informal and the marginal ones. If the artists appeared and were extremely active during the revolution it is because they were always present and they had been active since a long time, even if marginally and clandestinely. Many artists debated and wrote diaries day by day during the revolution, posting their commentaries and their artistic works on the web. But they did not appear from nowhere. They were marginal, but existing.[323]. Many artists had soon expressed their solidarity to the "street" with a manifesto published on 13th Januray 2011. But much more than this, they were finally giving life to (up to then marginal) spaces of expression and they were giving visibility to a "counter-culture" remained informal and auto-produced up to that specific moment.

Among the most famous cases, the rapper Hamada Ben Amour, *El General,* who on 6th January 2011 was arrested after having posted his song "*President, your people is dead*", a sort of open letter to Ben Ali, inviting him to go and visit the unemployed, the youth living in the little villages of the south and east of Tunisia. In few hours the demand for his liberation was everywhere on the web, with many other extracts of his songs against the police's use of violence. But this was only an iceberg of a very large movement spread all among young

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[320] « Dégagements….La Tunisie un an après, Exposition d'art contemporain, IMA de Paris, du 17 Janvier au 1er Avril 2012" ; *Courrier International,* Institut du Monde Arabe, Paris, 2012, pp. 3-4. The reference is specifically to Michket Krifa.

[321] Interview to Tahar Bekri in Slimani L., "Les artistes disent 'vive la révolution'", *Jeune Afrique*, 03 Février 2011. Si veda: www.jeuneafrique.com/Article/ARTJAJA2612p082-085.xml0/.

[322] *Cfr.* Gandolfi P., *Op. cit*., 2012.

[323] Some of them, such as the poet Sghaier Ouled Ahmed or tthe comedian Bendir Man, tried to follow and to comment every single act of the revolutionary process posting their diaries and their artistic works.   Among others, Nadia Khiari was following the events day by day with his ironic characterof a comic strip *Willis from Tunis*, (Cfr. Khiari N., *Willis from Tunis. Chroniques de la Révolution*, Simpact, Tunis, 2011) and the artist _z_ was posting his drawings before and during the revolution. Concerning the subject see also .Magnier B. (dir.), *Rêves d'hiver au petit matin, les printemps arabes vus par 50 écrivains et dessinateurs*, Elzyad, Tunis, 2012

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musicians who had been singing their desires and dreams for many years.[324] Those auto-produced (and mainly not visible to the big audience) young artists were expressing themselves mainly thanks to internet and were acting semi-clandestinely for a long time, creating imaginary, spreading ideas, debating ideals in a simple and direct manner, accessible to everyone and first of all to the youth itself. For long time, the creativity and the artistic engagement were mixed with informal means and anonymity as an answer to the repression and the censorship. So, for example, one of the now most famous Tunisian graffiti artist *SK-One* when organised his personal exhibition (*Evasion urbaine*) in 2009 was still hidden his personal identity. He gained a visibility only in 2011 when he occupied the Kasbah with many other people in winter 2011. *Meen-One* and *El-Seed,* other young taggers, use to talk about the repressive system of vigilance during Ben Ali's government.and how they were obliged to keep themselves at the margins The *Hip Hop movement,* as well, was systematically censored in *Facebook* and was obliged to search for alternative spaces of expression. After Ben Ali's fall, these young artists were able to express in a freeway what they had previously shouted, sang, designed, written with the precise ability of bypassing the many obstacles and prohibitions imposed by the government. For the first time, after 2011, they were asked to tag some public walls and they were called by the municipalities or other social actors. So, for example, El Seed, a Tunisian artist who had lived many years in France, was called to achieve some of his works - at the interstice of Arabic calligraphy and graffiti - on the wall of the main square in Kairawan, evolving the young inhabitants of the town in achieving the work. Few months later, he was called to draw on the minaret of Jara Mosque, in Gabes, writing one of the most tolerant and open-minded verse of the Koran, the one who invites people to know each other, especially when they find themselves among different people, different populations, differences of all kind.[325]

The graffiti artist SK-One had to learn graffiti by watching videos on the web, while in 2012 he was able to involve young people helping him in realising graffiti and learning from him. Some others, such as Meed-One, started their work as self-taught persons and then moved to the Fine Arts Academy in Tunis .A similar experience belonged to *Armada Bizerta* (from Bizerta), a rappers' group who begun totally informally and then moved to the Fine Arts Academy. They used to sing the right to freedom, the repression of the artists, the youth's marginalisation, the corruption, the unjustified violence of the police [326] and the examples of the artists belonging to the alternative culture might be multiplied.

Face to the freedom of expression that followed the end of the regime, many were the reactions of those who had used the art to talk, to protest, to denounce. For example, the photographers who had known an official repression reacted occupying the public scene and often putting photos of common citizens on the public walls.[327] Hicham Driss achieved a serial of portraits of ordinary man and women calling it 404, with reference to Ammar #404, the name given by the youth to the huge censorship acting in the web during the regime and able to obscure every minimally "suspected" website or blog.

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[324] Among the others: *Festival de la culture numérique de Carthage*) since 2006 and *Journées cinématographiques de Carthage* since 26 years

[325] Chapter 49 of the Coran, Verse 13 "O mankind! We created you from a male and a female and made you into nations and tribes that you may know and honour each other" . Cfr.

[326] See the translations of the songs and the in-depth interviews with the rappers in Gandolfi, P. *Op.cit,* 2012. (Add extracts in the text or in the notes)

[327] See among others, the project *Artocratie.* Bouali H., "Chronique déchirée. Vox populi Vox Dei".
Si veda: www.du-photographique.blogspot.it/2011/03/chronique-dechiree.html. See also Gandolfi, P. *Op.cit*, 2012

Wassim Ghozlani, a self-taught photographer, who used to make photos since 2009 and created the first portal dedicated to photography., affirms he had chosen photos during Ben Ali's time because he had many things to say and debate, but there wasn't a way to do it in a public way. So, as he said, he was using photos as a sort of "*camouflage*" and a sort of therapy in the meanwhile.[328] Once he found himself in a different situation, after the regime had fallen, he felt he needed to keep himself in a sort of "participant observation". Before, he used to propose some "postcards from Tunisia"[329] showing by photos a reality of the society, very far from the stereotyped imagines sold to the tourists. His portraits represented miners' faces, the beauty of the nature in the most marginal and forgotten small villages of the country, the abandoned walls and buildings, the heavy life of the shepherds and so on. It was his own personal way, as he told us, "to make images circulate" and "make ideas move" at the same time.

Another blog of a photographer who used to say his opinion by photos is *Le Blog du Photographique* by Hamideddine Bouali. His exhibition "*Révolution à la tunisienne…Le fil rouge*".was one of most beautiful photographic works on the revolution, partially published in the book *Dégage. La révolution tunisienne,* where photos and texts are in perfect balance[330].

While, on one hand, there was the dynamic of this young artistic production representing an informal counter-culture or alternative culture, on the other hand there were some artists, expressing courageous views and witnessing the widespread malaise of the society. The poet Ouled Ahmed[331] was one of them: a real counter-current artist, a provoker, an agitator of ideas, who used to sing and to write calling for "a coming revolution"

Tahar Bekri[332], a famous Tunisian poet living the exile, was one of the most important voices of the contemporary cultural context and used to assume clear positions on the social and cultural processes in Tunsiia. Painters such as Ali Belkadhi[333] or Mohamed Ben Slama[334] were expressing the rage and their frustration in several of their works. Ben Slama, a self-taught artist, used to paint peculiar beings (between the humans and the animals, the real and the fantastic) representing the ambiguities of the society and the inner feelings of the author himself. In a mixture of anxieties and hopes. Mohamed Ali Belkadhi (Dali) used to work with photos, installations, paintings. In 1998 had presented a famous work titled "a drink for doing the revolution" using 60 bottles with the printed image of Che Guevara on their glass. It was showed in the independent Art Gallery-Bookshop *Mille Feuilles* in La Marsa/Tunisi and the police arrived immediately Among the many others who we could mention, we find Ymen Berhouma[335], a self-taught person, experimenting with collage e décollage and offering a very intimate work of personal introspection [336] that was exhibited in few independent art galleries

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[328] See also further interviews to Wassim Ghozlani on *Arte-Arte en révolution(s)*. www.monde-arabe.arte.tv/country/tunisie/.

[329] Wassim Ghozlani presented a part of his work "Postcards from Tunisia" in the exhibition *Dégagements…La Tunisie un an après* at the IMA in Paris n January- April 2012.

[330] Bettaieb V. (dir), *Dégage. La révolution tunisienne. Livre-témoignages*, Editions du Layeur, Tunis, 2011

[331] Ouled Ahmed (Sidi Bouzid ,1955) published his first work *Nashid al-Ayam al-Sitta,*in 1984. His militant poems have been trasnlated in many languages.

[332] Tahar Bekri (Gabes, 1951) lives in Paris, writes in Arabic and French See: www.transfinito.eu/spip.php?article1229

[333] Mohamed Dali Belkadhi (1952) explores several fileds of the artistic creation such as the cinema, the theatre, the photography, the video-installations, the paintings.

[334] Mohamed Ben Slama (Tunisi, 1974) lives in La Marsa, working among sculptures, paintings, installations.

[335] Ymen berhouma borns in 1976 and take part into exhibitions since 2006.

[336] Ben Soultane M., "Breath of freedom. Tunisia", *Nafas Art Magazine*, Settembre 2011. See: www.universes-in-universe.org/eng/nafas/articles/2011/breath_of_freedom.

during the years [337] . But here again the quoted artists are only few examples and the names might be much more numerous.

Regarding the role of the independent galleries, we might remember that, in many fields of the art, the pressure of the censorship, the circle of the official art galleries and the logic of the public subventions was so deeply tied to the favouritism that many artists had to be very strong and determined to bypass the obstacles, the intimidations and the menaces. Many of them had to struggle a lot and to persist, when they intended to achieve and to show their work. By this way, the film "Cinecittà" (2010) by Brahim Ltaief[338] (produced without any public money) is an ironical history of some young people who have a project for a film that does not obtain the subventions of the Ministry of Culture because the story they narrate and the image of the Tunisia they propose in the film is too far from the politically correct one, wanted by Ben Ali. Actually, the demands for financing, during the regime, had been a huge problem for many young film-makers and other artists, who were therefore obliged to auto-produce themselves, sometimes using the web facilities or inventing new modalities of producing their own works. At the meantime, the challenge for some filmmakers already known abroad was to invest in foreign money to narrate what was actually going on every day among them, bypassing the boards of censors and all the prohibitions simply aimed to kill creativity..

Making of (2006) by Nouri Bouzid[339]is one of these examples. The difficult and controversial film is the story of a young boy living in the suburbs of Tunis, who loves the street dance and the graffiti and finds himself confronted to the authorities (the father, the school, the police).The young guy would like to travel to Europe but he will be intercepted by some religious extremists who want to use his rage for a terroristic plan. The film will also show the real story of the actor disputing with the filmmaker because he feels shocked: he was chosen as main actor in the film for his ability in dancing and he suddenly found himself in a story suggesting that the dance might be a pity for certain religious approaches. The film maker will choose to keep in the same film the sequences of the fiction and the ones of the documentary (the real dispute between the actor and the film maker). The result is a very difficult and delicate film, not well welcomed nor by the religious extremists nor by the intellectuals (even if it won the Golden Tanit at the Festival of Cartage for the artistic quality and the actuality of the questions proposed). An example, as we can observe, of an independent production and of the strong will to tell an original and intimate story concerning some ongoing socio-political and cultural processes daily lived by the youth, only apparently invisible, for sure hardly narrated and yet that would have totally emerged just few years later.

Sometimes the views and the stories proposed at the cinema are less explicit, but not less powerful. . Mohamed Zran[340], for example, shows the intimate feelings of the people, the silences, the ordinary life of the small Southern town called Zarzis in "*Vivre ici*" (2009) and it is able to narrate the atmosphere of the Tunisia under Ben Ali, bringing to the screen daily life histories and minuscule signs of ordinary people to feel being at the limit, on the margins, in a condition of exasperation. The same artist few years before had achieved "Saadia" a film on the Tunisian youth living in the misery, at the margins of the society, in the periphery of the capital. A film that gained a great success among the public, who found in it a story such as those of their own life. Many independent projects, as well as many manners to bypass the prohibitions and obstacles to bring them the original artistic projects to an end. Among the

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[337] Among the independent art galleries in Tunisia: El Teatro, Espace d'art Mille Feuilles, Kanvas Art Gallery, Galerie Ammar Farhat.

[338] Brahim Ltaief (…) is a film-maker internationally known, personally engaged in projects of education and financial aid for the production of the young film makers' first works.

[339] Nouri Bouzid (Sfax, 1945) is a Tunsian film maker internationally honoured.

[340] Mohamed Zran (Zarzis, 1959) was presented in several international film festival with *Le Prince*(2004) , *Le Chant du Millineaire* (2002), *Essaida* (1996)-.

many artists who had to face the boards of the censors there were not only the filmmakers, but also the theatre producers.

Habib Bel Hedi, for example, tells us about how many times he had to face the censorship on his audiovisual and theatrical works. The censors demanded 300 cuts for the work *Corps Otages* by Jalila Baccar. Similarly, the work *Amnesia* by Fadil Jaibi and Jalila Beccar, again produced by Habib Bel Hedi, before being presented abroad,, was very much censored in Tunisia. The producer tells us how he was able to apparently answer to the request of censorship, while he was achieving only apparent and minor cuts, thus succeeding in saving the specificity of its work [341] The possibility of finding such kind of works, even after such a strong action of the censorship, was also due to the notoriety of the artists at an international level,. In fact, letting this kind of dissident and provocative theatre be produced and be alived in the Tunisian context was also a strategic ability by Ben Ali's government to formally appear democratic and to publicly avoid scandals. At the meantime, the artists were not covered at all by the national media when presenting their work in Tunisia and they were not allowed to go and to present their works in other towns except for Tunis. Therefore, another hidden and incessant censorship, even after the formal and apparent consensus and approval to show the work to the public.

These two different forms of militancy in the field of the artistic creation met for the first time during the revolution. At the meantime this double artistic militancy met the militancy of the students, of the women, of the workers, of the unemployed, and so on. In other words it met the militancy of the activists and that of every single citizen who was resisting individually in his daily life there were many movements inside the revolutionary dynamic. One movement made the young artists of the underground scene met the artists of another generation and another education, another movement made the artists meet other forms of militancy. Finally a movement permitted the encounter among different forms of militancy and different generations, at once.

Facing the delicate phase of transition, observing the artistic context as a workshop

In this final part of the contribution, I'd like to focus, even if quickly, on Tunisia after the first political elections and during these last couple of years, with the aim to observe how in a country marked by instability and difficulties at a political and social level, the actions of few Islamic extremists –even if a minority of the population- has occupied the public spaces, intimidating some vulnerable sectors of the society such as students and teachers at university, women, and artists. Within this frame, it might be important to go back to the nexus between art and Islam as well to the link between art and Islamic extremism[342],, in order to understand how the artistic context might be differently interpreted by the social and political actors within the on-going change dynamics[343].. Moreover, the observation of the artistic context still permits to understand how it is representative of a menace to the rights and to the human dignity which concerns many more citizens than the only artists themselves. As a matter of fact, the main question for everybody is the maintenance of the public space and the possibility of acting by means of daily participation practices.

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[341] *Cfr*. Slimani L., *Op. cit.*, 2011.

[342] *Cfr*. Naef S., *Y-a-t-il une question de l'image en islam?*, Théraèdre, Paris, 2004. Benlabbah R., L'interdit de l'image dans le judaïsme, le Christianisme et l'Islam, Editions Aini Bennai, Casablanca, 2008, pp. 64-65. Grabar O., Penser l'art islamique, une esthétique de l'ornement, Albin Michel, Paris, Irwin R., Islamic Art in context, Prentice Hall, Upper Saddle River, New Jersey, 1997; Grabar O., Arte islamica: formazione di una civiltà (1973), Electa, Milano, 1989. See also Rieffel V., Islamania. De l'Alhambra à la burqa, histoire d'une fascination artistique, Beaux Arts, 2011*Cfr*. Rodinson M., *Il fascino dell'islam* (1980), Dedalo, Bari, 1988.

[343] See in Chapter n.5, Gandolfi. P., *Rivolte in atto .Op.cit. ,*2012,pp. 81-108.

Nowadays, the difficult dynamics and the delicate tensions in Tunisia make us wonder about the necessity of keeping in mind the past and the trauma[344] collectively lived and shared by the population, with the aim of going towards a future far from the past and far from any other forms of use of the power that might reduce the public space and the new acquired practices of participation.

That's why it's not by chance that, together with many students, intellectuals and university professors, the artists were often verbally and physically menaced by some members of the religious extremist movements. The artists' will to express their original idea of beauty hardly cohabits with a monolithic and rigid vision as the one claimed by the religious extremists, who consider the art as immoral and somehow in competition with the Divine Creation. But it has to be underlined that the condemn of the art in an Islamic context is a fundamentalist drift.

It might be sufficient to remember what happened on the occasion of the art exhibition *Les printemps des arts* at the Palace Abdallia in La Marsa-Tunis(in June 2012),when some relgious extremists not only condamened but also defaced and vandalized some paintings or when other groups of religous fundmentalists tryed to interrumpt the screening of films such *Ni Allah ni Maitre* (by Nadia el Fani) or *Perspepolis*,(in 2011). Many other occasions followed during 2012 and 2013.

In other words, it is not only a matter of revolutionary forces and counter-revolutionary forces, but the real core of the question is the maintenance (much before than the enlargement) of the public space by those who are at the government.

Therefore it might help to have an in-depth view at the artistic creations and movements, because they are workshops for experimenting new social and cultural dynamics and they are important spaces, among the others, for understanding the question of acting in the *public space* and acting by *participation practices* which are at stake, in daily life, for all the citizens.

Conclusion

An in –depth analysis of the contemporary artistic production in Tunisia, especially during all the years before 2011, shows that it had expanded creative horizons able to imagine revolutionary alternatives. A whole imaginative geography around the ideas of freedom, dignity and social justice has spread among a well formed youth. An attentive investigation shows how the artistic production in Tunisia had contributed, both in esthetical and in hermeneutical terms, to propose intimate views "from the bottom" on a changing society but also to create some *narrative spaces* able to talk about the new, the alternative, the unforeseen.. So, some artistic movements (mainly, but none only, the young *underground* scene) contributed to forge an *imaginary that* was at the core of the upraising.

Besides, even now, in this critical and delicate phase of transition, the artistic movements are stimulating workshops for experimenting change dynamics.

The art is a demand for beauty and after Januray 2011 during these last years, certain ideas of beauty and dignity pose questions around which ideas are at the base of the society we want to build. All that poses questions also to the fine interrelations among aesthetic, religion and forms of resistance. Therefore, we dare affirm that some reflections about art, in the long terms, in the context of the long and still on-going Tunisian revolutionary processes, might help to understand some wedges of the complex dynamics

The artistic creations and movements might be exemplary contexts, among others, to face the question of acting in the *public space* and acting by *participation practices* which are at stake, in daily life, for all the citizens.

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[344] *Cfr.*Rancière J., Il *disagio dell'estetica* (2004), ETS, Pisa, 2009.

THE EFFECTS OF GLOBALIZATION ON IDENTITY

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Abstract

The accelerating pace of globalization, the buzzword since 1990, is the cause of numerous socio-cultural complexities. Owing to globalization, literary texts have assumed a vital role to students' communicative and critical awareness of the world around them. Globalization shares with postmodernism themes such as plurality and loss of identity in mediatic societies. Narratives are a motivational tool to not only achieve comprehension, but also experience the writers' concern with contemporary issues. In the past, New Criticism boldly concluded that an objective analysis of text is feasible; however, the Reader Response theory advocated that readers interpret texts in relation to their own lives. Nonetheless, there are instances when a resistance to literary works occurs, particularly when conflicting cultural codes exist. Alienation— even self-effacement—could materialize consequent to attempting to create homogeneity and global solidarity. To postmodernists, meaning is no longer inherent in the text; the reader is involved in a quest to elucidate the textual material. In other words, intertextuality and deconstruction are at play since the content is a series of markings, and language is as an open system of signifiers that undermines the authority of words. With postmodernism, the reader is not a mere consumer but rather a 'free' interpreter of text; the printed matter is subject to a variety of interpretations. The effect of globalization on one's identity is crucial to educated minds seeking enlightenment. In schools and universities, instructors ought to employ postmodern narratives in their language classes to suggest alternatives and pose queries concerning globalism.

Keywords: Globalization, education, postmodern narratives, identity, plurality

Introduction

The twenty first century is typified by globalization that was promoted with the signing of NAFTA (North American Free Trade Agreement) to interrelate the world and promote a free flow of goods, services, information, and people across borders. The accelerated exchange has given rise to numerous questions. Potvin (2006) assures that globalization is a money-centered ideology, while to Khalaf and Khalaf (2006) it subsumes the entire world's intellectual, economical, ideological, and cultural compilations which results in socio-cultural complexities. Globalization is a major threat to the increasing number of immigrants worldwide. It menaces their identities and that of indigenous residents. This occurs when newcomers fail to integrate in the new society, or to create a new Self or identity capable of functioning in different realms. Educational institutions are vulnerable to globalization; it affects cultural roots and impacts "societies at the ideological, political, and economic levels" (Stomquist and Monkman 2000, p. 235).

In education, teachers are susceptible to public sanction if they do not meet expectations. Tatto (2007) thinks that in an overly competitive market, governments assiduously attempt "to shape their education systems to provide those skills needed in the growing global economy" (p. 231). Tatto also believes that reforms in education signify the creation of a novel concept of the ideal teacher; however, designing and implementing new methods and curricula is not a facile matter. Nevertheless, this is feasible through the establishment of accountability mechanisms that "secure compliance with globally determined

standards of quality in teacher learning and practice" (p.232). Administrators confronted global intimidations by increasing education quality through monitoring, accountability measures, and performance standards. In some countries, resistance by teacher unions and local controls occurred when an integrated curriculum was proposed for reform. Tatto (2007) emphasizes the need to work nationally through ministries of education—as well as globally—through lending experiences and research. She states that:

Within the context of the global teacher reform, accountability is a term used tidentify a number of actions (accreditation, standards development, curricular change, high stakes testing, credentials, career ladders, etc.) directed at identifying and enforcing'best practices'' in teacher education, development and teaching (p. 235).

The complex demands in the global phenomenon demand a thorough teacher-training program in not only academic content, but also in judicious and practical classroom management. Effective teaching is the result of a "set of technical/practical skills provided via short training programs" to build professional autonomy (Tatto 2007, p. 238). The major debate involved is whether to allow teachers to judge students according to their professional knowledge, thereby loosening bureaucratic controls, or to move towards close supervision and regulation of teaching practices. In both cases, there is a need for progress towards the gradual implementation of redesigned policies that modify the traditional understanding of teachers' careers.

Similarly, Leitgeb (2009) has pointed out that governments are confronted with pressing demands for better quality of higher education. Additionally, learners need to construct belief, determine truth, share power, and assume authenticity. To Carnoy (2000), "globalization enters the education sector on an ideological horse, and its effects in education are largely a product of that financially driven, free-market ideology, not a clear conception for improving education" (p. 50). In order to enhance the global competence of citizens in the increasingly competitive marketplace, learners need to exercise socially situated practices of learning to negotiate their beliefs, values, and identities. This is viable through the rapid technology advancement, mainly the internet usage that has eliminated world boundaries. In a study conducted on Taiwanese students in both urban and rural regions, Liao and Chang (2010) disclose how information literacy, which is associated with learning, was influenced by surfing of the net to help students "define, locate, evaluate, and use effectively the needed information" (p. 3867). Likewise, MEMON and Demirdögen (2009) explore how societies of the global era comprise the "knowledge based innovation and research oriented, technology driven individuals" (p.2553), where technology helped channel knowledge such as digital archiving methods for intellectual works. Intellectual property is an essential currency for global trade, and higher education institution benefitted most from the IT e –infrastructure. For the past few years, scholars and learners cherished online access to reputable journals. The academic collaboration worldwide has "improved access to information and instruments, opportunities for research collaborations, easy methods of learning & training, industrial liaison with technology support, science and technology cooperation" (p. 2553). However, MEMON et al. express their fear of violating intellectual rights nationally and internationally, especially when governments do not secure intellectual property. To protect technology and knowledge worldwide, there is a need for an international body for securing agreement. That is, "intellectual property in technology based environments must be codified in recordable or storage format so that same can be identified, protected and trade under specified laws" (p.2554).

With multifaceted globalization, the question of multiculturalism remains at the heart of the educational reform. Freire believes that education could improve the human condition to counteract the effect of oppression (as cited in Torres-Guzman, M., E & Gomez J., 2009). Having different shapes and colors, multiculturalism ceaselessly affects "most of the decisions

that we face in dealing with the challenges of contemporary education" (Torres et al. p.88). For the last twenty years, were connected to the politics of culture, to identify the importance of multiple identities in education. Multiculturalism has addressed the implications of class, race, and gender on the constitution of identities and ability to tolerate people of different origins. These theories aim at showing the complexity of multiple identities, promoting the public good and aiding individuals' to build accountability towards the formation of their own communities. However, these theories were unable "to embrace a theory of democracy that ameliorate, if not eliminate altogether, the social differences, inequality, and inequity pervasive in capitalist societies" (pp. 87-88). Eventually, to achieve the goals of diversity and multiculturalism, universities should hire qualified scholars that assist learners to explore knowledge without prejudice, and approach work creatively and "a sense of utopian hope" (Torres et al. p.104).

A call for new identities

Maalouf in *Arab society and culture* (2006), insists on the need for a new concept of identity that replaces the former tribal one (p.90). According to Maalouf, those mocked for their skin color or slipshod appearance seek vengeance, which is often described or labeled as terrorism.. Humiliation and fears of existence result in fanatic, abnormal behavior in any society. When people sense a threat to their   religion, nation, or community, they retaliate not as committers of repulsive crimes, but as possessors of a legitimate right to self-defense. These 'heroes' have either suffered from colonialism, racism or globalism that "turned the blind eye to the fate of their victims at least until rivers of blood have been shed" (p.89). Hence, Maalouf calls for a new concept of identity that accepts allegiances, rather than being reduced to one single affiliation that encourages intolerance. This does not mean the denial of the self as much as providing care for the Other to avoid belligerent or hostile behavior. Tolerance helps individuals transcend prejudice that leads to conflicts and bloody wars. Maalouf in his essay '*Damaged identities and violence'* asserts that people do not grow aware of their identities because it is not "a pre-given and static phenomenon" (p. 89). He insists that what determines affiliation was not in us at birth, but unfortunately, tribal notion is still accepted especially in the Middle East. This region is caught in the intermingling elements of globalization and is facing the threat of disintegration. Thus, reconciling with the culture of the Other is urgent to avoid the feeling of dislocation, alienation, and instability . Said (2006) in *Arab society and culture* agrees with Maalouf and describes his early experience in the USA as "a hopeless odd variation of a human being" (p.101). However, he finally brought himself to harmony with the Other through constructing a new identity via language, which not only represents but also creates realities. This takes us back to Maalouf's belief about the gradually built identity throughout life.

Globalization, culture, and self

Globalization, through its conspicuous promotion of consumerism, embraces a form of uniformity that dissolves cultural attachments, dissociates people, and induces isolation. . Media influences people's lives worldwide, diffusing specious practices and values; consequently, culture, which one assumes is examined in relation to society, is determined by technology (Mellor, 2004). Media's pervasive, ubiquitous presence is inescapable; the majority of the worlds' populations are affected by it. For several years now, researchers have advocated the importance of media in conveying and interpreting messages, leading thinkers to believe that "every interpretation of anything is medially determined" (Mulder, 2005). In fact, media's significance tremendously increased when it assaulted and discredited traditionally acknowledged cultural images. The potential effects of media on people exposed to diverse cultural perspectives are raising questions about the construction of identities

(Jensen, 2003). In fact, globalization has common themes with postmodernism since it implies an abundance of images, hyper-reality, multiplicities of identities, consumerism, and self effacement. However, the consequences of globalization might become beneficial if developing a global outlook and transnational competencies occur. In fact, culture issues are becoming increasingly significant in both schools and universities as the growing pace of globalization highlights a cultural dimension, pressuring teachers to acquire innovative practices. However, instructors may not readily have the expertise or necessary intercultural awareness that would help students develop an ethnographic imagination (Palfreyman and McBride, 2007).

Developing awareness of the other

With the increasingly competitive context created by globalization, scholastic institutions are under tremendous pressures to adapt their curricula and management to the newfangled global reality. Globalization is about bridgeable ideas that affect identity, cultural affiliations, and educational reform. Louie (2006) encourages multiple perspectives of diverse characters in multicultural class through reading about the Other. Nevertheless, resistance to literary works and alienation, which could develop into self-effacement, at times occur consequent to imposed homogeneity. This calls for more teacher guidance when student analyze a text from a critical literacy stance. Students need to consider various views and contexts, respond, and empathize with peers of different cultures to see the world with a different lens (Morgan and York, 2010). Banks (2009) claims that learners' thinking abilities grow as they relate to the world and are comfortable with those of different background. Similarly, Liang and Galda (2009) state that "when response activities and comprehension strategies are combined, classroom instruction can enhance student engagement and understanding of a text, enrich student response, and improve students' awareness of their own strategic reading"(p. 330). This language activity encourages students to transfer knowledge by reading, recalling and responding (Wiggins & McTighe, 2008).

Oppression in literature

Currently, there exists a reawakening of interest in the use of literature in language classes; however, the primary focus is on the interaction between the reader and the text, which do not possess fixed and final meaning (Finkelstein & McCleery, 2002). In other words, Literature could be an avenue for texts that aid students transmit their own interpretations, improving both their cognitive and writing abilities. Furthermore, learners cherish reading about contemporary socio-cultural issues relevant to their age and lifestyle. Using postmodern literary texts, teachers would permit students to comprehend the representations of their present society, which is characterized by media's intrusive pervasiveness. Reading and discussing current topics empowers students to write as productively as possible. Narrative as a genre is a relatively new concept in educational research and is associated with literary studies. The support in favor of literature in language teaching is progressing positively, especially with literary texts that transmit an abundance of perceptions and insights. Postmodernists emphasize text over-interpretation, and assure the interaction between text, reader and reality, as well as intertextuality, which "transgresses realist narrative conventions, disrupts linear time sequence, accumulates meaning through intertextual references to other writing and cultural texts, and creates self-reflexivity through its formal strategies" ("Literature and Activism", 2007).

Teachers as value carriers

Since there is no value free education, it is necessary to point out to the role of teachers as value carriers. Weaver (2000) assures that teachers reflect a mainstream thought

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and tend to reinforce their social values that make education culturally determined. Weaver explains this issue by stating that facts never speak for themselves, but are situated rather in a context that is dominated by societal values (p. 257). Freire argues that few people are exempt from oppression of one kind or another, and calls for a critical pedagogy where teachers provide academic needs, while allowing students a measure of smugness or contentment. To Freire, students need to '"develop a broader sociopolitical consciousness that allows them to critique the cultural norms, values, mores, institutions" so that they are prepared to be active citizens (p.160). Freire (as cited in Vaught, 2008) believes that the Critical Race Theory (CRT) explains "racism not as a singularly individual pathology, but as a collective, structural phenomenon that is pervasive, adapts to socio-cultural changes, is permanent, and must be challenged through scholarly efforts that disrupt assumptions of colorblind neutrality" (p. 3). Similarly, Gillborn (as cited in Vaught, 2008) states this structural racism mobilizes White supremacy, and assures that "race inequity may not be a planned and deliberate goal of education policy neither is it accidental. The patterning of racial advantage and inequity is structured in domination" (p. 485).

Freire (as cited in Billings, 1995) insists that education requires a process of 'conscientization' that engages students critically as they develop different perspectives of social and historical phenomena. Likewise, Kozol (1991) assures that teachers should foster a sense of common identity within students, while simultaneously nurturing a multiplicity of perspectives and unique identities. In other words, students must recognize their potential to confront the paradox of building a unified community within their classroom that also strengthens their self-identities. Furthermore, Bartolome (1994) has argued for a humanizing pedagogy that "respects and uses the reality, history, and perspectives of students as an integral part of educational practice" (p. 173). Because of race, class, or gender, they tend to be victims or executers. Reading Morrison's "Beloved", a postmodern novel involving black identity , readers/students could note the suffering endured by black Americans (or others of that race) who are constantly uncovering the veil of color that leads to segregation. Cornis-Pope (2001) depict the Blacks' never-ending endeavor to attain self- definition and locate a niche in the world of the Other or Whites.

Owing to globalization, Yayli, (2009) illustrates how narratives assist students demonstrate their comprehension, since new literacies present new ways of critical thinking. Students are expected to understand how societies are built through actions and words, and consider issues about identity, and how meaning is culturally affected. In class, a teacher is neither a transmitter nor a facilitator but rather a mediator, an initiator and liberator of knowledge for learners questioning the world around them (p. 206). To Alvermann and McLean (2007), new literacies are about "the intersection of people, texts, modes, practices, and the varied meanings of literacy learning in different situations and cultural contexts" (p. 3). Kirby and Vinz (1988) claim that the traditional lens placed on literature focuses more attention on the writer than the reader of the text, which results in a mere concretization of the author's ideas. This led learners to approach the intellectual rather the affective channel to pursuit meaning. Likewise, Rosenblatt (1978) believes that the text is a milieu for "sensing, feeling, imagining, thinking" activities (p. 26). Reading is an invitation to experience, to contemplate new perspectives of the text and be a co-creator of text rather a passive consumer. To postmodernists, meaning is no longer inherent in the text; it instead engages the reader in the quest of interpretation, which to Culler (1981) signifies the dismissal of formalism:

It frees us from the notion that the poem is some kind of autonomous object, which 'contains' its meaning as an inherent property. That notion has unfortunate consequences; it suggests that the reader, like a good empiricist, should approach the poem without any preconceptions so as to read only what is there in the text. The implication that the ideal

reader is a *tabula rasa* on which the text inscribes itself not only makes nonsense of the whole process of literary education and conceals the conventions and norms which make possible the production of meaning but also ensures the bankruptcy of literary theory, whose speculations on the properties of literary texts become ancillary . . . (p. 121).

Literature in language class

Iser (1974) believes that, there is a relationship between text and reader: 'one must take into account not only the actual text but also, and in equal measure, the actions involved in responding to that text" (p. 274). Similarly, Barthes (1977) denies the existence of a literary work, until it is written by the reader. Barthes (1994) also assures that the author now is dead, and the text is a chain of inter-textuality. In other words, literature engages readers and elicits self-reflexive relationships between readers, writers, and text. In class, three central teaching models are applicable: the cultural model or Literature as content, the language based model, and the personal growth model. The aim is to form an eclectic approach that integrates the three approaches to cater for students' needs (Zafeiriadou, 2001). In the cultural model, the researcher assists students to enhance their literary awareness by relating the narrative to the characteristics of the movement it belongs to; in other words, the texts' social and historical background. This model acts as the relics of culture through which students appreciate other ideologies. The second model, or the language-based approach, highlights the language of the literary text to integrate literature and language, and permit students to produce meaningful interpretation(s). Through this model they enhance grammatical and vocabulary patterns necessary for effective writing. The third model, or the personal growth, assist students derive pleasure from reading and reflecting on their own life experience.

Literature and media

With globalization, media initiated a campaign that consisted of bombarding listeners/viewers/readers with a variety of oppressive images and representations. Mulder (2004), among other researchers, has demonstrated the extent to which media conveys or emits predetermined messages.. Story- reading and interpreting is a crucial factor in language learning because it is able to connect/interact with students' emotional realms. Students, who are studying English as a foreign language EFL, may improve language acquisition through reading contemporary novels that mirror their modern societies. Writers such as Don DeLillo are concerned about the relation between media and literature. Students' interest in the world of media makes *White Noise,* which tackles the idea of society with endless streams of images, an incentive to read and interpret meaning. In his novel, *White Noise* (1999), Don DeLillo depicts the dawn of the media age (Donovan, 2004). DeLillo's narrative highlights the era of image, simulations and illusions. It exhibits the extensive pervasiveness of media on American mass culture. Bishop (2004) claims that narratives play a vital pedagogical role through the connections they offer to students' lives. Narratives not only help validate the identities of the readers as writers but also provide a wider societal context in which students locate themselves meaningfully. Learners could have an interest in reading about contemporary issues that are relevant to cultural and social issues. Reading postmodern texts enables students to acquire a keener understanding of their society, which is mostly controlled by an inescapable media factor . Harlow, Cummings & Abersturi (2006) support students' reflection on inner mental realities; this enables a vital engagement with their surroundings, eventually uncovering their true identities. According to Freire (1968), teaching should not be solely a banking of concepts; the relationship between educator and student should be a democratic one that promotes socialization.

Conclusion

With adequate awareness about the Self and the Other, the negative effect of globalization on the identity and culture of the marginalized would be gradually eradicated . In the end, the most frequent argument is maintained: Is globalization that casts a blanket of uniformity over the world, suffocates the cultures of the marginalized, and represents a ubiquitous threat that is the acknowledged, determining factor of cultural identity? What other solutions could educators and intellectuals propose and possibly implement in the global era?

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THE TWO-STATE SOLUTION: IS IT STILL FEASIBLE?

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Abstract

Many scholars and politicians have been advocating the end of the two-state solution, given major obstacles like the right of return for the refugees, the settlements, the weakness of the Palestinian state, security and borders. However, this paper argues that the everlasting stalemate in the Israeli-Palestinian peace process is not necessarily caused by problems concerning the two-state solution *per se,* but it is rather the result of psychological factors such as internal divisions, conflicting stances, lack of trust, and bad timing. Among all these obstacles to peace, the most influential impediment has been Israel's behavior and unwillingness to compromise during the negotiations. In fact, the Israeli stance and rhetoric, and especially its continuous appropriation of land, have been very problematic, as they have not left space for genuine negotiations and real compromise. In this light, the two-state solution, as well as any other solution to end the stalemate, is not currently feasible, and it will never be unless there is a real change in the Israeli position.

Keywords: Two-state solution, Palestine, Israel, peace process

Introduction

In all the major steps of the Israeli-Palestinian peace process, the parties have been discussing directly or indirectly the recognition of the states of Palestine and Israel. However, no agreement has ever been reached, mostly due to the unwillingness to negotiate and compromise with the other party, rather than due to critics of the proposal *per se*. At the same time, this solution has been often discussed in superficial terms, without dealing with the more salient aspects of the dispute, which remain unsolved up until today. Recently, due to the long deadlock of the Israeli-Palestinian talks, many have started advocating the death of this proposal, and new alternatives have been put on the table.

This paper assumes the hard task of investigating the two-state solution and its feasibility today. The goal is to determine if we are really facing the end of the "two-state solution era," or if, in spite of the several obstacles, this proposal remains a realistic option on the ground. I will first define the two-state solution, and then I will briefly explain its historical evolution through the main steps of the peace process. Then, I will look at the main problems that the adoption of this plan entails, as well as the advantages and disadvantages for the two parties. Taking into account the complexity of the issue and the variety of factors involved, which constitute a limitation to the final assessment, I will argue that nowadays we are witnessing an everlasting stalemate due to the Israeli stance and its continuous appropriation of land through settlements. In fact, other factors that have negatively affected the negotiations, like the presence of Hamas, are not insurmountable, while Israel's behavior and the changing conditions on the ground, meaning the enlargement of the Israeli settlements, might be leading to the death of the two-state solution.

Definition and Content of the Solution:

The two-state solution to the Palestinian-Israeli problem refers to the plan of partition of the land that extends from the Mediterranean Sea to Jordan, creating Palestinian and Israeli states. In this way, the two groups would coexist in the same land, but in two separated

entities, which would guarantee the rights and security of their citizens. The most popular solution recognizes the "1967 borders," which correspond to the demarcation line (Green Line) as drawn by the Armistice Agreement after the end of the 1948 Arab-Israeli War.[345] Another solution suggests instead going back to the partition proposed by the 1947 United Nation General Assembly Resolution 181.[346] This alternative would grant more land to the Palestinians that could accommodate the returning refugees. In this plan, the Jewish state would be reduced to around 50% of the land as opposed to the current 78% (or more).[347] Other plans for partition have also been formulated: under the interpretation of Netanyahu's government, Jerusalem would remain Israeli, there would be no right of return to Israel for the Palestinian refugees, the settlements would be safeguarded, limited and demilitarized Palestinian sovereignty would be established, and the presence of the Israeli military would secure the territory.[348] Moreover, Netanyahu strongly requires the recognition of the Jewish state.

For several years the parties have been participating into negotiations brokered by external factors such as the United States and Norway, but they have never agreed on a specific plan for partition. Nevertheless, the most popular proposal remains the 1967 division line. This plan is also the most likely to work, as it is more moderate in its claims and requests for both parties. In any case, all the alternatives of the two-state solution presuppose the reciprocal acceptance of existence and sovereignty.

Historically, this solution dates back to the proposal of the Peel Commission, the British royal commission sent to Palestine to deal with the Arab revolts.[349] This commission proposed a solution, rejected by the Arabs, which dedicated 17% of the lands to the Jewish. In the same way, on November 27, 1947, the UN General Assembly published Resolution 181 in which it proposed a partition plan that entrusted more than 50% of the land to the Jews. Given the disproportion between the groups' population size and the amount of land assigned, the Arabs rejected the proposal.[350]

The division into two states, thus, has always been identified as a possible solution to the problem, and in many occasions Resolution 181 has been referred to as a feasible solution. However, the Palestinians have not considered it acceptable until 1973, and more officially until 1988 when they renounced to the claim of the entirety of their land.[351] For what concerns Israel, there had been internal debates before 1948 concerning the possibility of accepting a partition plan or not. Then, with the 1967 great victory, Israel started debating on the future of Palestine.[352] From that moment on, the various steps of the peace process continued discussing the feasibility of the two-state solution, while slowly moving towards the recognition of the Palestinian state. However, the negotiations continuously failed and no agreement was ever reached. A turning point was in 1993, when, with the Oslo Accords, for the first time Palestine was recognized as an equal power and it established a self-government.[353] However, once again, Oslo and the ensuing 2000 Camp David Summit failed. Then, President Clinton elaborated the so-called Clinton Parameters that supported a two-state

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[345]. Neve Gordon, and Yinon Cohen, "Western Interests, Israeli Unilateralism, and the Two-State Solution," Journal of Palestine Studies 41, no. 3 (2012): 9.

346. Jamil Hilal, Where Now for Palestine?: The Demise of the Two-State Solution (London: Zed, 2007),
[347]. Ibid., 2.

[348]. Binyamin Netanyahu, A Durable Peace: Israel and its Place Among the Nations (New York: Warner Books,

[349]. Itzhak Galnoor, The Partition of Palestine Decision Crossroads in the Zionist Movement (Albany, NY.: State University of New York Press, 1995), 293.

[350]. Gideon Biger, The Boundaries of Modern Palestine, 1840-1947 (London: Routledge, 2004), 213.

[351]. David Newman, and Ghazi Falah, "Bridging the Gap: Palestinian and Israeli Discourses on Autonomy and Statehood," Transactions of the Institute of British Geographers, New Series 22, no. 1 (1997): 119.

[352]. Ibid, 121.
[353]. Ibid, 124-125.

solution with a detailed plan on how to deal with the most urgent issues, such as Jerusalem and the settlements.[354] This detailed proposal led to the Taba negotiations in 2001, but it ended in another deadlock. In similar ways, the following proposals and negotiations all ended up in a stalemate: first, in 2002, the Arab League supported the Arab Peace Initiative, in favor of two states, the withdrawal of the settlements, a just solution for the refugees, and the acceptance of the Palestinian state. Second, in the 2002 Road Map for Peace, the Quarter (the United States, Russia, the United Nations, and the European Union) suggested a solution explicitly in favor of the establishment of the Palestinian state.[355] Third, in the 2007 Annapolis Conference, the United States, Israel, and Palestine discussed a path towards the recognition of Palestine. In spite of all these steps, no real agreement was ever finalized and accepted by both parties.

To conclude, this historical overview does not pretend to exhaust the topic or to explain in detail the peace process and its success or failure. However, what emerges is that the two-state solution was often mentioned either explicitly or implicitly, but the negotiations never developed from ideal thought to concrete implementation of this solution. This was probably due to the lack of dialogue and compromise between the two parties, and also due to the several obstacles that needed to be solved in order to make this plan feasible. I will dedicate the next section to the analysis of the strongest obstacles to peace and to the implementation of this solution.

The Strongest Obstacles to Compromise:

There are several obstacles that negatively affect the two-state solution and its implementation. It is important to analyze them, as they are extremely relevant to the attempt to assess if the solution was ever feasible, and currently is still feasible.

First, the Palestinian state has shown in the past years its inefficiency and weaknesses on many levels. Not only does it have little means of governance, meaning limited powers and resources, but it is also limited by internal corruption and division between the West Bank and Gaza. The issue of division between Hamas and Fatah and the presence of Hamas in the government of Gaza are very important, as disunity strongly affects the effectiveness of political decisions, the success of the negotiations, and the cohesiveness of the state. Moreover, Hamas' presence complicates the picture, as Israel and Hamas refuse to negotiate with each other.[356] Hamas' presence is preventing an agreement between the parties also because one of the reasons for Israel to negotiate is the issue of security from attacks that have mainly come from Hamas and its supporters. This element of hostility, which I will explain further in the last section, is affecting the feasibility of the two-state solution, especially since 2006 when Hamas was elected in Gaza, to the extent that it was defined the "biggest obstacle to peace."[357] At the same time, disunity continues affecting the legitimacy and efficiency of the Palestinian government and its services.

Second, the economic conditions of the Palestinian state are dramatic, and they would not benefit from the two-state solution. In fact, the weak Palestinian market and economy would suffer from competition with the much more advanced Israeli ones, and Palestine would have difficulties in accessing their resources, as Israel is already monopolizing them to the expense of the Palestinians.[358] In addition to this, the problem of human capital is

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[354]. Daniel Kurtzer, and Scott Lasensky. Negotiating Arab-Israeli Peace: American Leadership in the Middle East (Washington, D.C.: United States Institute of Peace Press, 2008).

[355]. Virginia Tilley, The One-State Solution a Breakthrough for Peace in the Israeli-Palestinian Deadlock (Ann Arbor: University of Michigan Press, 2005), 128.

[356]. Ron Pundak, "From Oslo to Taba: What Went Wrong?," Survival 43, no. 3 (2001): 33.

[357]. Daniel Byman, "How to Handle Hamas. The Perils of Ignoring Gaza's Leadership," Global.

[358]. Hilal. Where now for Palestine?: The Demise of the Two-State Solution, 11.

affecting the Palestinian economic performance, as the majority of educated and skilled workers live in diaspora. This is strongly limiting the Palestinian economic development, and it would be experienced even more with an autonomous state.

Linked to the economic limitations is security, as Israel puts the control of the borders and security as its main priority and precondition to make any compromise.[359] How could Palestine be a sovereign independent state with its borders under control of another country? Concessions are needed on this point especially from the Israeli side. In addition to this, since 2002 Israel has been protecting itself through the wall. In the case of an agreement, the functioning and even the existence of this wall would be put into question, and it is debatable that Israel will be willing to do that.

Last, but of crucial importance, are three issues on which compromise and negotiations have decisively failed up until today. First is the problem of the continuously increasing number of settlements in the West Bank. Prerequisite for peace, according to several steps of the peace process outlined in Oslo and the Road Map for Peace, freezing settlements has not been accomplished. On the contrary, they continue to grow at the expense of the Palestinians. The consequences and the implications are manifold. First, the Palestinian land has decreased consistently, thus leaving the Palestinian state with a space that is too small to absorb the number of refugees that are waiting to return.[360] The growing settlements might be leading the two-state solution towards its end as, unless they are frozen and dismantled, the Palestinians will not have enough vital space. Plus, not only is the space very small in the current partition, but also the Palestinian cities are cut off, making the organization of the state very complicated.[361] In addition to this, the issue of the settlements has also undermined the trust of the Palestinians regarding Israel's intentions to reach an agreement. However, many scholars agree that in spite of the opposing opinions in the Jewish community on this issue, it is not likely that the settlements will be dismantled any time soon because of their symbolic meaning as Biblical land in the Jewish identity.[362] Moreover, in the event of a dismantling, the settlers might react and revert to violence to defend their presence in some areas. But, as Ghazi-Walid Farah states in his article: "Without radical restitution of land and dismantling of existing Israeli settlements, there can be no territorial contiguity to any future Palestinian polity."[363] One of the alternatives to restitution of land is the land swap, meaning other lands in exchange for those occupied by the settlers.[364] However, this would need long negotiations and willingness to compromise, the latter often lacking from both parties.

The other two critical issues are the right of return for the refugees and the division of Jerusalem. Concerning these, the stances of Palestine and Israel strongly differ, as the former defends the return of the refugees and their compensation, while Israel opposes it for the demographic shift that their presence might cause. For Jerusalem, then, there is no compromise yet as the Palestinians want the territory as their capital, as stated by Dr. Ashrawi, PLO Executive Committee Member: "Without East Jerusalem as our capital, there can be no Palestinian state or any hope for peace."[365] On the other hand, Jerusalem is the holiest city for the Jews, and the Israeli state will not give away its symbolic center. Middle-

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[359]. Ibid., 56.

[360]. Ibid., 213.

[361]. Tilley, The One-State Solution a Breakthrough for Peace, 3.

[362]. Ibid., 53, 56.

[363]. Ghazi-Walid Falah, "The Geopolitics Of 'Enclavisation' and The Demise of A Two-State Solution to the Israeli–Palestinian Conflict," Third World Quarterly 26, no. 8 (2005), 27.

[364]. Neve Gordon, and Yinon Cohen, "Western Interests, Israeli Unilateralism, and the Two-State Solution,"

[365]. "PNN - Palestine News Network," Dr. Ashrawi: "Without East Jerusalem as our Capital, There Can Be No Palestinian State or Any Hope for Peace."

of-the-road solutions have been proposed over the years, but no compromise has been reached yet.

Many other problems undermine the solution, as for example the lack of trust between the parties and the fact that the two-state solution seems to work only in theory, while the politics, in reality, may be too risky to be adopted.[366] The majority of these problems have been present for a long time, and at the same time some of them have been worsening, especially the increase of the settlements. Therefore, it seems as if the longer we wait, the less feasible this solution becomes.

Advantages and Disadvantages:

It is important to reflect on the advantages and disadvantages that the parties would gain from such a solution. The first obvious advantage is peace, which would halt the violence and discrimination. The states would be divided and autonomous, and they would be finally fully legitimized at a global level. In fact, on the one hand, the Palestinian state would be recognized as legitimate, and their government would gain more acceptability internationally but also internally, wherein the leaders would be considered responsible for successfully resolving the conflict. On the other hand, Israel would eliminate the Palestinian demographic threat while reinforcing the ethnic nature of the state.[367] Moreover, it would enhance its position and legitimacy both regionally and internationally, with the possibility of opening new and positive relations with other Arab countries. In addition to this, the world would benefit from the end of the conflict and the new stability of the region.

However, this solution might be hard on the Palestinians, as their government would face many difficulties. Plus, the Palestinian economy is expected to face trouble and instability (but this could be partially mitigated by external aid). The main threat for the Palestinians is certainly the internal clashes between Fatah and Hamas, which might not accept the compromise. In this case, the success of the solution could be compromised by new violence and further instability.

From the Israeli point of view, the current situation might be more preferable than a change, as they are now free to apply their policies (i.e., settlements) without any concrete obstacle. Therefore, the only real advantage for Israel might be security. As Netanyahu says: "Truth and trust are the problem- if we give the lands to the Palestinians, how do we know that they won't attack us?"[368] This leads to the question: Would security be guaranteed in such a scenario? This is hard to answer, as Hamas' unpredictable behavior is likely to affect security. All considered, Israel might be reticent to adopt this solution as it cannot anticipate Hamas' actions, and therefore cannot predict whether or not security can be achieved. From this point of view, the picture remains uncertain, as the advantages and the disadvantages are numerous, and even if peace would be favorable for every actor involved, this has been the case for a long time and yet other political calculations and obstacles have prevented the success of the negotiations. This suggests that one or both parties involved have not fully committed to partition, and I will investigate this in the next section.

The Failure of the Negotiations and Israel's Stance:

At this point, what remains unclear is why the various negotiations have failed, and why the parties cannot find an agreement. The answer to this question is more complicated than it seems, but it is important in order to understand what went wrong and what needs to be changed. A detailed analysis on the reasons behind the failure of the peace process is beyond

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[366]. Giora Eiland, "The Future of the Two-State Solution," Jerusalem Center For Public Affairs, 1.

[367]. "Two States for Two Peoples If Not Now, When?," Policy Statement of the Boston Study Group on Middle East Peace, Boston Study Group on Middle East Peace (2008), 12.

[368]. Netanyahu, A Durable Peace, 325.

the scope of this paper, as they have been complex and often unclear. However, I will present some of the main factors that can help us understand why the two parties have not succeeded in finding a solution. First of all, since the beginning, the parties' goals have contradicted each other. In fact, they both wanted a sovereign state on the same land, and they wanted to prevent, or at least limit, the establishment of the other state.[369] Secondly, internal divisions did not help the parties find a compromise.

In addition to this, some indicative problems emerge from the analysis of the 1992-2000 phase, which includes the Oslo Accords until the Taba Talks. First, both parties lacked trust and were skeptical. For instance, the Palestinians did not believe in the Israeli good intentions, as during this period they never halted the land transfers, with an increase of 80,000 settlers.[370] Moreover, the Palestinian leadership suffered from corruption, and the population gradually started turning towards its Islamic opposition. Then, the most critical issues were left to discuss in the last phase, thus postponing the real problematic matters to the end. Lastly, negotiations in Taba were suspended due to the Israeli elections, and after the change of government the negotiations did not resume.

From many points of view, we can draw parallels between this phase of the peace process and the others, as they have often been characterized by internal divisions, conflicting stances, lack of trust, and bad timing. All these factors show how psychology has often been more influential than substance,[371] meaning that generally the two parties did not disagree on the terms of the agreements *per se*, but rather due to ideological or psychological factors. On the same pace, Israeli negotiator Shaul Arieli recently released an interview in which he states that political decisions and behavior of the negotiators have constituted the main obstacles to any agreement, and not concrete disputes on the land.[372] Therefore, he argues that through political debate and change of stance it is still possible to implement this solution.

I agree with S. Arieli and D. Sontag that the main problem is related to the behavior of the two parties, and in particular of Israel. For instance, V. Tilley argues that Israel never wanted the two-state solution,[373] and its participation in the negotiations could be explained as a way to gain international support and time, while continuing its space engineering, meaning land appropriations, through settlements.[374] If, on the one hand, it is hard to prove that Israel is not willing to compromise, on the other hand the conditions set by Netanyahu seem difficult to meet and can hardly be accepted.

In 2009 the Israeli Prime Minister gave a speech at the Bar-Ilan University in which he explicitly expressed his support and commitment to the two-state solution. However, his idea of partition favors Israel from many points of view. First, according to his division of the lands, the Palestinian state would be a weak and discontinuous territory interrupted by Israeli settlements.[375] Secondly, he demands the demilitarization of the Palestinian state, with security under the Israeli control. However, in this way the Palestinian sovereignty would be strongly affected. In fact, sovereignty can be defined as "the recognition by internal and external actors that the state has exclusive authority to intervene coercively in activities within its territories."[376] But how could Palestine intervene coercively in a state of demilitarization?

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[369]. Oren Barak, "The Failure of The Israeli-Palestinian Peace Process, 1993-2000," Journal of Peace Research 42, no. 6 (2005): 719-736. 727

[370]. Deborah Sontag, "'Quest for Middle East Peace: How and Why it Failed'," Journal of Palestine Studies 31, no. 1 (2001): 79.

371. Ibid., 81.

[372]. Shaul Arieli, "It Must Be Asked: What if the Peace Talks Fail?," Haaretz.com.

[373]. Tilley, The One-State Solution a Breakthrough for Peace, 20.

[374]. Falah, "The Geopolitics Of 'Enclavisation'and The Demise Of A Two-State Solution", 1342.

[375]. Daniel Seidemann, "Jerusalem, Netanyahu and the Two-State Solution," Noref Policy Brief, (2012), 4.

376. Janice E. Thomson, "State Sovereignty in International Relations: Bridging the Gap between Theory and Empirical Research," International Studies Quarterly 39, no. 2 (1995): 219.

In this light, Netanyahu's conditions would clearly undermine the Palestinian effective sovereignty. Moreover, his stance in respect to Jerusalem and the settlements seems to reflect the idea that a peace agreement needs to be signed because the Palestinians are present in the territory and not because they have the right of self-determination.[377] For example, concerning Jerusalem he stated: "Israel is prepared to offer the Arabs full and equal rights in Jerusalem- but no rights over Jerusalem."[378] Such a position does not help resolve the dispute, as we can hardly imagine that the Arabs will accept it.

In accordance with Netanyahu's strict conditions, other Israeli political figures have shown their stances clearly against partition. First, Naftali Bennet, head of the Jewish Home Party and a senior member of the current Netanyahu cabinet, argued that the two-state solution is dead, and Israel will continue to build more and more.[379] Then, Dann Dannon, the deputy defense minister from the Likud Party, has encouraged Israel to declare sovereignty over all its settlements. Third, the former foreign affairs advisor to the prime minister Dore Gold has expressed his support to the establishment of Israeli control over the Jordan valley and East Jerusalem, rejecting the 1967 borders.[380]

Netanyahu's partition plan and the stance of these politicians are instructive, as they show how Israel is today in a position of strength from which it might no longer need to compromise. If we combine their rhetoric with the continuous enlargement of settlements, this scenario is quite problematic for the future of the Palestinian state.

Hamas: The Real Impediment?

Certainly, the negotiations have been complicated also by internal disunity on the Palestinian side, and by the presence of Hamas. In fact, Hamas has been an obstacle to peace, especially since 2006 when it was elected in Gaza. In fact, it strongly affirms that it will never recognize neither the Israeli state nor the legitimacy of the two-state solution. Moreover, its use of violence has constituted a major threat to the Israeli security. However, in spite of its radical rhetoric, by now it has accepted the 1967 borders, as it has realized that Israel cannot be totally eliminated, thus showing that it can be pragmatic and flexible to a certain extent.[381] At the same time, Israel refuses to recognize Hamas as a legitimate actor and therefore will not engage in dialogue.

This hostility prevents acceptance of the two-state solution by both parties. Pragmatism from Hamas and Israel is crucial, and to conduct normal negotiations either Hamas has to be excluded from the talks and maybe even overthrown, or Hamas and Israel have to change their stance. The first scenario is extremely unlikely given Hamas' popularity among the Palestinians and the legitimacy of the democratic elections that installed it. Then, the second scenario is complicated, as both the actors need to agree on a pragmatic and moderate way forward.[382] This seems very difficult, as the road of acceptance would be very long and tough, especially as Hamas is officially recognized as a terrorist group. However, as Byman argues, this is significant to resolve the deadlock: refusing to deal with Hamas would be a mistake. In fact, "Hamas is here to stay,"[383] and opposing it might have the only effect to weaken the Palestinian moderates. Instead, according to Byman, Israel needs to approach it with a mixture of concession and coercion, improving the conditions of Gaza and playing on its vulnerabilities at the state level, especially now that it is weakened by its dispute with Hezbollah in regard to the Syrian war and by the overthrow of the Egyptian Islamist

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377. Ibid., 3.
378. Netanyahu, A Durable Peace, 337.
379. Mohammad Ayoob, "Israel-Palestine Negotiations: The Road to Nowhere," Al Jazeera.
380. Ibid.
381. "Hamas Ready to Accept 1967 Borders." Al Jazeera English.
382. Hilal, Where now for Palestine?: The Demise of the Two-State Solution, 177.
383. Byman, "How to Handle Hamas".

government. At the same time, it is important to renew the negotiations with the Palestinian National Authority (PNA), in order to prevent a possible internal victory at the hands of Hamas.

Once again, Israel's willingness to negotiate with the Palestinians will be crucial. In fact, if Israel started new negotiations with the PNA, this could either weaken Hamas, or push it towards pragmatism. In fact, from its current governmental position Hamas cannot afford anymore to only challenge Israel and not compromise.[384]

Conclusive Remarks: A Momentarily Death?

The debate on the possible death of the two-state solution is still open, as many scholars present different opinions and useful insights that are valuable on both sides. From one point of view, only history will tell us, as the success of any step of the peace process has been difficult to predict. However, from another point of view, the obstacles are numerous, and the lack of trust and willingness to compromise have prevented the success and implementation of this solution.

This paper has shown the main obstacles and complications of two-state solution, and how negotiations have failed despite the fact that peace would have been an advantage for everyone. From my analysis, I conclude that Hamas is an obstacle to peace, but it is not insurmountable. In fact, its position has turned out to be more pragmatic than its rhetoric, and genuine negotiations between Israel and the PNA might to a certain extent neutralize it. So, the main problem is Israel's willingness to compromise. Moreover, as a consequence of the Israeli stance, the situation on the ground is changing. In fact, the settlements keep growing in size, the number of settlers is increasing and the Palestinian lands have become too small to fit the refugees who would return. For this reason, halting the settlements is no longer the only problem: Israel would have to proceed through land swaps and dismantlement, but it would be very hard to move such a large number of people, especially since the settlements have acquired a strong symbolic meaning.

Until today, John Kerry, United States Secretary of State, is putting efforts to find a new agreement in the framework of the two-state solution. In the last months, he has been negotiating a new proposal to be accepted by both sides, as the current situation of peace is extremely vulnerable. However, once again, the plan does not seem to concretely answer the most problematic aspects of partition, and does not appear to convince and satisfy the two parts, and in particular Israel. In fact, the plan does not specify in detail which settlements will be maintained and which will be dismantled, and it does not determine with precision the division of Jerusalem. Will the parties accept this proposal? By intuition, the answer is no. In fact, huge debates are currently taking place in Israel, accusing Kerry of "threatening" Israel, and internal crises within the Israeli government make it difficult for Netanyahu to accept this partition plan, as he would most likely loose his majority. On the Palestinian side, there is internal disagreement, but Abbas is more likely to accept the plan as, like before, he does not really have a better choice.

To conclude, a partition plan is not likely to be accepted any time soon, as historical problems continue to obstruct peace. Among them are the difficulty of determining detailed terms of partition acceptable by both sides, and Israel's position of strength. Will the United States be able to convince their old ally? This question remains open, but everything suggests that the two-state solution is momentarily dead. This is not merely due to its content, as Israel's unwillingness to compromise would affect any kind of negotiation. Only genuine willingness and a radical change of the Israeli attitude towards the negotiations can revitalize the two-state solution. For now, in spite of Kerry's efforts, this prospect is not feasible, and it

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384. Ibid.

is difficult to predict if this will ever change. The path towards a final settlement is still long and unclear.

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THE ROLE OF NEW INFORMATION TECHNOLOGIES IN ALTERNATIVE RESOLUTION OF DIVORCE DISPUTES

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Abstract

This paper is an introductory outline to the problems of application of intelligent information technology in the process of alternative resolution of family disputes. The three layers that are relevant for this research, namely, the legal layer, the layer concerning the theory and practice of dispute resolution and the layer of information technology are discussed. The illustrative material is taken from the Polish family law, with emphasis on the so-called parenting plans: the agreements pertaining to the allocation of the parental custody after the divorce is granted. The following two negotiation support systems are compared: the Family_Winner system developed by Emilia Bellucci and John Zeleznikow and, on the other hand, the Parent Plan Support System designed by the authors of this paper.

Keywords: Information technology, family law, negotiations, mediation

Introduction

The objective of this paper is to provide an interdisciplinary analysis concerning the use of Artificial Intelligence (AI) technologies in alternative resolution of divorce disputes by means of cooperative negotiation or mediation. The investigations are opened by the characterization of divorce procedure in Polish law, with particular emphasis on parenting plans concerning the exercise of parental authority, as well as the general clause of the well-being of the child which determines the content of the aforementioned plans. The outline of the legal context concerning divorce procedures gives basis for investigations concerning mediation as an alternative method of family disputes resolution. The focus is on advantages that are brought by application of mediation procedure and juxtaposition of theory and judicial and extra-judicial practice concerning this matter. The analysis presented defines the context for investigations concerning optimization of divorce procedures by means of application of negotiation-based or mediation-based model, using AI technologies, to facilitate the divorcing spouses to amicably settle disputes concerning exercise of their parental authority.

The paper intends to argue that AI-based technologies are useful in enhancement of alternative dispute resolution procedures that are applied in the context of family disputes. Although this problem has a rich literature in AI and law research, it is relatively less known in the field of social sciences. The paper's perspective is general. The investigations begin with a presentation of legal context of divorce procedures, Polish law being the illustrative material. The crucial general clause of the well-being of the child is discussed. Further, the emphasis is put on the advantages that stem from application of alternative dispute resolution techniques in the context of divorce cases. Finally, the important role of AI-based information technologies in resolution of these disputes is advocated.

The Legal Background

The basic institutions concerning divorce law and establishing the scope and forms of parental custody have been established in Polish law in the Family and Guardianship Law Code of February 25th, 1964[385]. According to valid law, a divorce may be demanded by either of the spouses in case of complete and permanent disintegration of their matrimonial life. The law provides for exceptions from the aforementioned rule. In particular, despite a fulfillment of the condition of matrimonial breakdown, divorce is not allowed if it infringes on the well-being of common minor children of the spouses[386]. The model situation taken into account in this paper, which is a basis for optimization of divorce procedure with the use of AI technologies, assumes that both positive conditions for granting of the divorce are satisfied and that no excluding circumstances are present. It is worth mentioning that the clause regarding the well-being of the child does not only determine the content of eventual resolution of parental authority division decisions, but it is an important negative condition concerning the very award of a divorce. Hence, this legal concept should be considered very significant.

The divorce judgment should contain resolution of elementary issues that are related to the functioning of the minor child and that are indicated by the statute. The code does not prescribe any detailed procedure of settling those issues, however. Taking the constitutional guarantee of raising children in accordance with beliefs of parents into account[387], the court may consider an agreement between the divorcing spouses, concerning parental custody over the child (parenting plan), provided that this plan does not infringe upon the well-being of the child. In case of no initiative from the parents as regards the parenting plan, or in case of assessment of this plan as unsatisfactory from the point of view of the well-being of the child, issues of parental custody shall be decided by the court on the basis of its assessment of the totality of circumstances of the case. It must be emphasized that there are not specific statutory provisions dealing with the parenting plans in the context of divorce procedure. These issues have not been developed in executive regulations, either, which must be assessed negatively from the point of view of the effectiveness and completeness of decisions concerning parental custody that are made in the divorce procedures. Simultaneously, the lack of concrete normative criteria related to the content of the parenting plans may be seen as a purposeful decision of the lawmaker, leading to respect of the parents' autonomy in making decisions concerning their children. In other legal systems, regulation of issues of statutory concretization of scope and content of parenting plans is not unified. Certain legal systems require that some primary issues concerning the functioning of the child be settled in a parenting plan[388], other legal systems assign a scope of discretion to the parents, provided that the interest of the minor is respected.

The basic legal criterion in divorce proceedings and in the process of delimiting the scope of parental custody is, according to Polish law, the well-being of the child. As a general clause, this term is not legally defined. According to the opinion of the Supreme Court of Poland[389,390], doctrinal understanding of the well-being of the child comprises the child's

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[385]   The offical publication address: Dz.U. 1964, No 9, position 59.
[386]   The indicated negative condition shall not be applicable in case of adult children, minor children of one of the spouses and minor children that are as a matter of fact raised by the divorcing spouses. More on this subject in Ignaczewski (ed.) 2010, 43 ff.
[387]   The Constitution of the Republic of Poland. The official publication address: Dz.U. 1997, No 78, position 483.
[388]   Children's Act No. 38 of 2005.
[389]   The Supreme Court of Poland is the chief authority of the judiciary in Poland, that performs control over the activities of common and military courts. The judgments of the Supreme Court of Poland are not precedentially binding, yet they have significant practical authority because they are a source of important guidelines concerning interpretation of statutory law.
[390]   The signature of the referred judgment: V CKN 1747/00.

model situation, one which encompasses not only his or her present situation, but perspectives for the future as well. It ought to be emphasized that the judicial conception of the well-being of the child takes not only the provisions of domestic and international law into account, but the accepted moral doctrine that requires a high threshold of diligence in issues concerning the situation of the minor child in the context of divorce procedures.

Although the provisions of the code do not contain any binding interpretation of the category of the well-being of the child, they nevertheless indicate certain elements, that should be present in any parenting plan, or, in the case of a lack thereof, in the final judicial decision substituting the autonomous agreement of the spouses. First, such decision should determine the allocation of parental authority over a common minor child of the spouses. In particular, the following options are possible in this context according to Polish law: sustaining of parental authority, its delimitation, and the suspension or deprivation thereof (in relations to any of the spouses)[391]. The issue of parental authority is complemented with the problem of contact between parent and child. The code does not prescribe any options in this context, leaving it up to the parents to determine that which would be constructive as regards the well-being of the child. The third obligatory element is an agreement concerning the costs of maintenance and upbringing of the child. Moreover, if the spouses occupy the same residence, the judicial decision should determine the use of this place of residence. The remaining issues concerning the functioning of the minor child, including her or his education, contacts with third parties, and/or emergency issues, are not obligatory components of the judicial decision. Their development in the judgment is dependent on the readiness of the parents to consent to the potentially broad scope of issues in a comprehensive manner.

Consequently, as far as the divorce procedure of spouses that have a common minor child is concerned, Polish law prescribes a model in which only certain elements of relevant judicial decision are obligatory. The issues concerning the allocation of parental authority, the frequency and the form of contacts with the child, the economic issues related to maintenance of the child and the use of residential place have to be decided, which leads to optimization of interest of the child. The facultative character of the remaining issues related to functioning of the child after the divorce is awarded,, including very significant ones, show san intention of the lawmaker to leave the broad scope of decision to the parents. Simultaneously, the openness of the parents and their awareness of importance of the undertaken decisions is the condition of development of an acceptable parenting plan. However, as the divorce is typically accompanied by a situation of conflict, most often by a destructive one, the realization of the assumptions accepted by the legislator concerning the scope of agreement of the parents may be interfered with, leading to decisions that are suboptimal from the perspective of well-being of the child.

Divorce and Conflict Resolution

The complex character of the conflict between the divorcing spouses, pertaining not only to the questions of fact, but to relations, communication and values as well, greatly diminishes peaceful and constructive cooperation that lead to the settlement. Additionally, strong negative emotions, including the feeling of loneliness, disappointment, the experience of abandonment do not contribute to unbiased assessment of the disputed situation. Thus in the frame of divorce procedures that are taking place in time of the first phases of the so-called psychological divorce (the stage of denial, grief, or the stage of anger[392]) it is advisable to apply alternative methods of dispute resolution, including the form involving the presence

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[391]   This catalogue of types of performance of parental authority is enumerative. The Polish law does not prescribe for any other possibility, including alternate exercise of parental authority.

[392]   Concerning the stages of the psychological layer of the divorce and on other layers of the divorce: the emotional, legal, parental, economic and social one, see Gójska and Huryn 2007, pp. 70-75.

of a third party neutral (the mediator) in order to make the mutually acceptable and beneficial settlement possible. This settlement should be concentrated on the well-being of the child. The application of these methods may endow the participants to the dispute with knowledge that is necessary for rational resolution (including psychological and pedagogical knowledge and the use of cooperative negotiations). The spouses should be made aware in the first place that in order to sustain the parental authority for both of them, the preparation of the parenting plan will be necessary. This plan has to pass the judicial verification involving assessment against the criterion of the well-being of the child, interpreted in the context of circumstances of the concrete case. The reasonable expectation concerning cooperation of the parents in realization of the plan is another factor which may foster its acceptance. Second, the parents should be informed that Polish law does not prescribe any normative template for the parenting plan. Therefore, without professional support, they will have to rely on their own creativity and will, the latter founded on strong and often negative emotions.

Taking the aforementioned legal constraints into account, the parents, intending to exercise their parental custody and contacts with children, are faced with the complicated, multifaceted and portentous task of agreeing upon mutually acceptable and beneficial content of the parenting plan. Apart from the main objective of the plan which is to sustain the parental authority of both of the parents, the plan performs the following more specific functions: a) facilitation of regulation of relations between the parents and the child after the divorce is awarded; precise description of rights and duties of the parents as regards this scope; b) defining of rights and securing of the well-being of the child (including the child's feelings and needs that grow with age); c) elimination or limitation of harmful behavior of the parents, including pulling the child into the conflict between the divorced parents; d) education of the parents with regard to pedagogical, psychological and social rules concerning proper relations with the child and e) making use of the parenting plan in order to avoid any future disputes before the court.

It should be emphasized, that the argumentative discourse of the parents aiming at determination and acceptance of a parenting plan has four main dimensions: communicational, informational, relational and decisional. The preferred negotiation strategy to lead to an agreement is a non-adversarial, cooperative, integrative approach to negotiations, characterized by the *win-win* solution, concerning mutual interests and needs of the parties, taking into account not only the potential result, but also the relations of the interested parties[393]. The first category for assessment of the parenting plan is first and foremost the well-being of the child, then taking the public interest into account. The interest of any of the parents should not be a primary factor[394].

Although in principle the parents are the only members of the discourse concerning the parenting plan, it is also possible that in case of need, the following persons may enter into the dispute: the child, mediators and other experts. The discourse of negotiations or mediation in the frame of which the content of the parenting plan is being developed should warrant that the parties are equal and free as regards the presentation of their statements, provided that their assertions are true and understandable.

At the beginning of a mediation procedure, the parties should be made aware of the essence, principles and advantages of mediation. The word "mediation" traces its roots back to Latin language (mediator – intermediary; mediare – to mediate between the parties; medius – placed in the middle, impartial). Mediation is a voluntary form of alternative dispute resolution, consisting in specialized, non-authoritative help from a mediator, who is impartial

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[393]   More on the distinction of the mode of negotiations: cooperative/problem – solving approach vs competitive/adversarial approach see Folberg et al. 2005, pp. 79-80.
[394]   See the resolution of the Supreme Court of Poland of 12 July 2006, III CZP 48/92, and the judgment of the Supreme Court of Poland of 25 August 1981, III CRN 155/81.

and neutral with respect to the parties and their conflict, whose main tasks are: 1) undertaking activities aiming at a mutually acceptable agreement encompassing interests and needs of both of the parties (the win-win paradigm); 2) restoration of positive relations, communication and cooperation between the parties for the future. During the mediation process, the parties develop their self-awareness (introspection), improve their skills (in particular as regards listening, argumentation, understanding of the other party's situation), and can even experience a deep moral change (reconciliation, forgiveness, apologies, positive resolutions for the future)[395].

The Recommendation No R (98) 1 of the Committee of Ministers of the Council of Europe to member states on family mediation (hereafter: the Recommendation) and the following Explanatory Memorandum[396] argues for introduction of systemic regulations concerning resolution of family disputes, in particular of those stemming from separation or divorce, in order to:

promotion of solutions based on common agreements for the sake of limiting of conflicts between the family members,

protect the interests and well-being of the child, in particular by means of appropriate agreements concerning custody and contacts with children,

minimize the adverse consequences of of family breakdown and separation of the spouses,

promote maintenance of the relationship between members of the family, with emphasis on the relations between parents and children,

decrease the economic and social cost of separations and divorces, as regards both the family and the state[397].

According to the provisions of the Recommendation and the Explanatory Memorandum, mediation should be conducted in accordance with fixed standards that distinguish it from other forms of intervention and dispute resolution. Member States should implement proper mechanisms in order to make sure that the process of mediation is conducted in compialnce with these standards[398].

As regards the main advantages of civil mediation, which justify its broad application, the following should be listed: common search for optimal resolutions, muting of negative emotions, restoration of the feeling of agency and dignity, the possibility of reparation and rebuilding of the foundations of cooperation, lack of complicated procedures, restoration of friendly and kind communication, mutually beneficial and realistic cooperation. The family mediation may bring threefold benefits in practice: 1) increase of individual social competence of the parties (responsibility, improvement of communication and ability to resolve disputes); 2) reduction of costs and social consequences (with particualr regard to adverse consequences towards the children); 3) relative ease of application of the procedure to concerete situations of conflicts, which enables achievement of optimal solutions[399].

New Information Technologies in Family Disputes

Taking the abovementioned advantages of alternative methods of family disputes resolution into consideration, it may be claimed that they should be applied in a significant

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[395]   Zienkiewicz 2007, pp. 44-46. See also Bush and Folger 2005 and Rau at al., 2002, pp. 337-340. Adam Zienkiewicz, Studium mediacji. Od teorii ku praktyce, Wydawnictwo Difin, Warszawa 2007, s.44-46.

[396]   The Recommendation No R (98) 1 of the Committee of Ministers of the Council of Europe to member states on family mediation and the following Explanatory Memorandum, the Council of Europe, Strasbourg, 5 February 1998.

[397]   The point 5 of the Explanatory Memorandum.

[398]   The point III of the Recommendation No R (98) 1.

[399]   Gójska and Huryn 2007, p. 43.

percentage of these cases. It seems, however, that excessively low amounts of divorce cases are solved with application of cooperative negotiations or mediation. One of the important factors restricting the possible use of such methods in divorce cases is the high level of negative emotions that are connected with this domain of legal cases. The parties to divorce disputes are often reluctant with regard to prospects of direct meetings, and all the more adverse to conducting amicable discussion with the other party and to taking her perspective into account. Therefore it is justified to use new information technologies in order to facilitate the resolution of the dispute between the divorcing parents and in consequence to conclude a parenting plan that would take the well-being of the child into account in highest degree possible.

Information technologies may support the process of dispute resolution in various ways. First, they may provide the parties with communication tools that enable synchronous (teleconference, chat) and asynchronous (e-mail) communication at a   distance. In consequence, the necessity of direct meetings is seriously reduced as are associated travel costs. Second, an important role in the process of dispute resolution may be played by legal knowledge bases, providing the parties with knowledge concerning the content of legal provisions and legal cases that are binding in relevant jurisdiction. This type of information may be important in the context of calculation of BATNA[400] – Best Alternative to the Negotiated Agreement. In consequence, the knowledge concerning the legal context may be a factor to take into account when one considers whether one wishes to continue or discontinue the amicable discussions. The new technologies may be used in a much more far-reaching manner. And so, third, computer programs referred to as Negotiation Decision Support Systems (NDSS) are used to generate suggestions concerning the decisions of particular parties in a given stage of the process of negotiations. Moreover, these programs are able to present important information of other type (for instance, concerning mutual concessions in the dispute). Fourth and finally, the computer program may propose a comprehensive solution of the dispute between the parties, allocating the disputed issues between the parties automatically.

The development of information technology-based legal decision support systems (in particular in the context of family law) involves resolving numerous significant problems concerning the adopted method of knowledge representation, the choice of content of knowledge base and inference rules that are used to draw conclusions from the input data. The problems related to these issues are too broad to discuss them here even in a   concise manner[401]. Due to the high degree of complexity connected with reasoning with broader legal information, the implemented computer programs typically deal with a relatively narrow range of issues or even with just one type of legal cases. The next important challenge is taking the context of particular cases into account: legal rules that are derived from statutory text are typically too general to determine the decision in concrete cases. Proper representation and processing of contextual information is one of the most complicated issues troubling the developers of legal knowledge of information systems[402].

The research and practical-technological movement that is connected with the use of new information technologies (including web technologies) in alternative dispute resolution is referred to as Online Dispute Resolution (ODR). It should be added that the scope of ODR research comprises also the use of computer programs in the context of litigation, so the concept of ODR is substantially broader than the concept of ADR. [403] The development of

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[400]   Lodder and Zeleznikow 2010, p. 42.
[401]   Oskamp 1992, Bench-Capon 2012 with regard to the development of methods of representation of legal knowledge.
[402]   Berman and Hafner 1993 with regard to Case-Based Reasoning systems.
[403]   Poblet et al. 2009. It should be added that decision support systems do not have to be necessarily implemented in the ODR tools (they can be used offline).

ODR systems dates from the 90s of the 20th century on[404], then, with the beginning of the next decade, the first systems of this sort were introduced to business practices[405]. One should expect increasing interest in this subject in the near future due to the initiative of the European Union legislative organs in this field[406]. In principle, there are no important legal obstacles to use of ODR tools in the process of supporting resolution of disputes of different kinds, with reservation of the cases that necessarily involve proceedings before the court and issuing of a court decision. If there are any obstacles concerning the application of these tools, they are rather related to the limited awareness of their existence, their relatively limited dissemination, and to the inherent limits (logical, conceptual and technical ones) of particular ODR systems.

Although it may seem at first sight that the use of computer programs in resolution of family disputes should be very limited, the research practice of the last twenty years justifies the contrary thesis. Due to the high degree of complexity of family disputes, they form an important and interesting challenge for researchers who develop the ODR tools. It should be emphasized that effective resolution of divorce disputes is an important social issue due to the fact that these conflicts are often particularly destructive. The developer of an ODR system in the field of family law typically has access to large databases of judicial decisions as well as to the empirical data related to family mediations. The divorce disputes are frequent and it is possible to indicate a set of their typical features, which enhances the analysis of the structures of such cases[407].

The author who is particularly influential in the field of development of ODR tools that are designed to support the resolution of family disputes (with emphasis on divorce cases) is John Zeleznikow, who, in collaboration with other researches (including his former students) developed such computer programs as Split-Up[408], Family_Winner[409] or Asset Divider[410]. From the point of view of this paper's objective, the Family_Winner program is particularly interesting, because it is a system designed to support the work of mediators[411]. Służ on wsparciu procesu polubownego rozwiązania sporów dotyczących różnych zagadnień wynikających z związku z postępowaniem rozwodowym, w tym kwestii dotyczących pieczy rodzicielskiej oraz kontaktów z dzieckiem.

First, it is worth emphasizing that the assumptions of Family_Winner were grounded in a rich amount of data; in particular, the results of interviews that were conducted with the authors with mediators. Due to this fact, the Family_Winner is one of the first computer programs supporting the process of negotiations, based on empirically grounded theories. Second, the Family_Winner does not only inform the parties to the negotiations about the progress of the process of dispute resolution, but also it provides suggestions concerning concrete proposals of resolution of the dispute in question.[412] Third, the Family_Winner enables both the parties to dispute and mediate precisely the issues at stake and to take into account the preferences of the parties concerning the division of disputed issues in the planned settlement.

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[404]   Suquet et al. 2010.

[405]   Rule 2002.

[406]   Regulation (EU) No 524/2013 Of The European Parliament And Of The Council of 21 May 2013 on online dispute resolution for consumer disputes and amending Regulation (EC) No 2006/2004 and Directive 2009/22/EC (Regulation on consumer ODR).

[407]   The more serious challenge is posed by unique conflicts such as the Israeli-Palestinian conflict, see Zeleznikow 2011.

[408]   Zeleznikow et al. 1996.

[409]   Bellucci and Zeleznikow 2005.

[410]   Zeleznikow and Bellucci 2010.

[411]   Bellucci and Zeleznikow 2005.

[412]   As a consequence, the Family_Winner should be classified as a Negotiation Decision Support System and not as a Negotiation Support System.

The procedure of operation of the Family_Winner is as follows. The users of the system define the particular disputed issues at they assign number values to them, thereby indicating their preferences. On the basis of this input data the system generates so-called Trade-Off Maps: the information concerning possibly acceptable decisions leading to allocation of a certain issue to a given party. The system is based on the compensation principle: if a given issue, highly valued by the party A is assigned to the party B, then this concession should be compensated for by a change of valuation of particular issues that are remaining for allocation. Eventually, the system generates a proposal of allocation of all defined issues to the parties to the dispute. It is worth mentioning that the Family_Winner provides for a possibility of decomposition of general disputes issues into more specific sub-issues, which facilitates the process of mutual concessions and trade-offs.

In summing up the above considerations, the Family_Winner is an example of a computer program that performs several important functions in connection with resolution of divorce disputes. It enables the parties to explicate the disputed issues and to divide these issues into more specific sub-issues. It also motivates the parties to define their preferences as regards the allocation of particular disputed issues and it enables the parties to check whether a given division does not lead to infringement of interest of any party. However, it should be noted that the notion of fairness encompassed in the Family_Winner system is based on the idea of mutual advantage of the parties. Therefore, this system is in principle not able to represent the criteria that are external to the interest of the parents (such as the criterion of the well-being of the child).

An example of a system that performs similar functions to the Family_Winner, and which was designed by the authors of this paper, is called the Parent Plan Support System (the PPSS). It may be used in connection with cooperating negotiations between the divorcing parents. The scope of the PPSS is limited, however, to the problem of development of the parenting plan, and in consequence it concerns the issues of parental custody and contacts between the parents and the children after the divorce (Araszkiewicz, Łopatkiewicz and Zienkiewicz 2013a, 2013b). There are important differences between the Family_Winner and the PPSS as regards the structure of these systems[413].

First, the PPSS possesses a predefined base of options of a parenting plan that may be chosen by the parents and then deliberated by them. On the one hand it is a limitation of the capacities of the program (because of work fully effectively only in connection with the options that are already stored in the database and not in connection with the options introduced by the users of the system). On the other hand, this technique of construction of the database systematizes the process of negotiating assurances that the developed parenting plan will be complete and comprehensive. Second, the PPSS makes broad use of the Case-Based (CBR) reasoning structures such as dimensions and factors (Ashley 1990). It should be noted in this content that the very general and indeterminate concept of the well-being of the child is the subject of many decisions of the Polish Supreme Court. The PPSS contains a database of judgment of this court, and by means of application of proper CBR structures it is able to give suggestions to the users as regards the compatibility of their choices with interpretation of the concept of the well-being of the child adopted by the Polish Supreme Court. Third, the PPSS assigns lesser weight to the preferences of the negotiating parents, because its subject is only to support the process of development of the parenting plan, and not, for instance, the resolution of issues concerning the division of property.

The examples discussed above show that the development of information technology tools aiming to support cooperative negotiations or mediations in divorce cases leads to interesting and fertile results. In particular, both the implemented and projected systems are

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[413]   The PPSS, unlike the Family_Winner, has not been implemented yet to an executable computer program.

able to represent the process of negotiations, bargaining and mutual concessions made by the divorcing parents as well as assess the agreement between the parties concerning the mode of conduct of the parents after the divorce is granted. The research on the decision support systems for dispute resolution is a very vivid and quickly changing field nowadays, and it should be emphasized that the role of CBR reasoning structures (even very complicated ones) is acknowledged in the literature of the subject (see Andrade et al., 2013).

Conclusion

The aim of this paper was to introduce the Reader to the problems related to the development of intelligent, information-technology based support systems for alternative resolution of family disputes. The contributions shows different layers of research on this subject, including the legal layer, the layer connected with the theory and practice of dispute resolution and, finally, the computational layer concerning the knowledge representation structures used in the database of the developed system. It was argued that these layers are strictly interconnected: the shape of the legal regulation (where the Polish family law served as illustrative material, with emphasis on the disputes concerning development of the parenting plan and, in connection with this, with the allocation of parental custody and the contacts between parents and children after the divorce is granted) determines both the form and the content of knowledge representation structures that are used in the system. The legal norms are also relevant to determine the possibilities of application of alternative dispute resolution techniques (such as cooperative negotiations or mediation) to certain types of disputes. The adopted theory of dispute resolution (together with the empirical material that provides foundations for the knowledge base) determines the functions of the developed systems. In this contribution we have discussed examples of systems that adopt different approaches to the adopted criteria of assessment of the result of the negotiations. The Family_Winner, grounded in the framework of game theory, focuses on the mutual benefit of the negotiating parties, taking their preferences' ordering into account. On the other hand, the PPSS makes use of an objective criterion (that is, the well-being of the child) which is represented by a database of judgments decided by the courts as well as by the set of CBR structures. These two approaches by no means exhaust the richness of approaches to the subject that are present in the literature. However, they are model examples illustrating the diversity of techniques employed in development of the systems in question, justifying a claim that in the future the use of ODR tools and negotiation support systems may become a standard in alternative dispute resolution of family cases.

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THE ROLE OF TIME IN POST-MERGER INTEGRATION

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Abstract

This paper investigates the dual role of time in post-merger integration (PMI). Prior research has focused on the determinants of M&A success, and highlighted the importance of meeting implementation schedules as a pivotal, yet usually unachieved, goal of a PMI. In this paper, I propose a dual explanation of this phenomenon: the implementation schedule timelines are usually too optimistic, and actual implementation is too slow. The theorizing behind these explanations is grounded in the heuristics, biases and temporal orientation literature as well as in Crossan et al.'s (1999) 4I organizational learning framework, which is used to propose how integration complexity influences integration time. Overall, this paper contributes to the explanation of the so-called M&A success paradox (double digit M&A growth in spite of 60%-90% failure rates). Financial analysts, who rarely participate in PMI, underestimate implementation time, which then becomes an excessively aggressive deadline, usually missed because of unanticipated integration complexity.

Keywords: Post-merger integration, time, heuristics and biases, integration complexity, organizational learning

Introduction

Double digit growth of merger and acquisition (M&A) deals in the 1980's and 1990's fuelled extensive research program. This research produced a surprising result coined as the success paradox: M&A popularity persists in spite of overwhelming of failure rates (60%-90%, depending on the industry and the time period). However, conclusions about M&A results must be tempered by the assumed definition of success, which is often in the eye of the beholder.

In spite of decades of M&A research, the scholars failed to converge into one cohesive framework (Pautler, 2001). However, there is a general consensus that the key impediment to success lies in an inadequate *post-merger integration process* (Haspeslagh & Jemison, 1987, 1991; Cording et al., 2002; Bert et al., 2003), which "often destroys more value than it creates" (Haspeslagh & Jemison, 1987).

The post-merger integration (PMI) is the last phase of a merger, during which two companies combine to form a single entity. The integration literature has been plentiful yet fragmented. The scholars have proposed several factors that might jeopardize PMI, including poor organizational fit (Jemison & Sitkin, 1986), resource embeddedness (Haspeslagh & Jemison, 1987), corporate and national culture differences (Weber et al., 1996) and poor human resource management (Buono & Bowditch, 1988).

The concept of time has been explored in a variety of disciplines in the social sciences, but the study of time as it relates to organizations has been limited (Ancona et al., 2001). The role of time in an M&A context has been virtually ignored with a recent exception of Homburg & Bucerius (2006) who explored the role of the integration speed in M&A success. However, their measure of time in six-month chunks was too coarse-grained, and their model treated it as an objective variable. Meanwhile, in a real life situation, the role of time in PMI is more complex. As Apaydin (2008) has found, PMI participants form their expectations in two forms: as financial results and the timing of their achievement. Importantly, both of these

criteria are established for them, usually by investment bankers and consultants alike who would not be involved in the PMI process itself.

Predicting the future is a difficult task, as people are not accustomed to thinking in the future perfect tense (Weick, 1984). Forecast under uncertainty is a subject to heuristic-based biases (Tversky & Kahneman, 1974) and unrealistic optimism (Weinstein, 1980). Optimistic biases may also occur because decision-makers believe that they may not have to bear the outcomes of their decisions (Kahneman & Lovallo, 1993). Moreover, information may be too complex to enable objective evaluation of outcomes, especially when their components are ambiguously interdependent and conjunct, leading to overestimation of their probability (Tversky & Kahneman, 1974). As a result, this a priori unrealistically optimistic implementation schedule becomes a de facto deadline for PMI managers, transforming the process into a time constraint project.

PMI is a complex process, in which many informational, procedural and behavioral uncertainties have to be resolved through communication and learning. The role of organizational learning in PMI should not be underestimated. The capacity to learn is one of the key drivers of integration performance (Haspeslagh & Jemison, 1991). Yet, learning takes time. Integrating complex deals may take longer as suggested in Apaydin (2008) research.

The main contribution of this paper is the theoretical explication of the role of time within a comprehensive framework, which includes both, PMI and its antecedent, the pre-deal valuation. The paper is structured in three parts. The first part explains how PMI implementation schedules are set based on the heuristics, biases and temporal orientation literature. The second part is built on Crossan et al.'s (1999) 4I organizational learning framework, which is used to explain how integration complexity influences integration time. The third part is based on the aspiration theory. It explains how pre-deal forecast time and the PMI realized time interact to produce a success or a failure. Finally, I discuss the contribution, limitations, and implications for future research and managerial practice.

Forecasting Implementation Schedule

Apaydin (2008) explored the definition of success as viewed by different PMI stakeholders (external consultants, PMI managers, and target's employees). The respondents were asked to reflect on their PMI experience focusing on the process dynamics and the role of various factors in achieving or undermining the ultimate success. The study has found that PMI participants form their expectations in two forms: as financial results and the timing of their achievement. Importantly, both of these criteria are established for them, usually by investment bankers and consultants alike who would not be involved in the PMI process itself. It is interesting that the financial targets were more rigorously tracked than the implementation schedule, which was missed in all of the reported cases. Paradoxically, while the markets were punishing the company stock for missing the deadlines, the PMI participants tended to discount away this part of the performance expectations. What is it about time that makes people treat it so frivolously and almost haphazardly? How do cognitive and behavioral processes interact to produce such a result?

The temporal perspective

The concept of time has been explored in a variety of disciplines in the social sciences, but the study of time as it relates to organizations has been limited and fragmented (Ancona et al., 2001). Although theories of time are lacking in the organizational literature, temporal perspective can be found in the strategy literature (Das, 1987; Waller et al., 2001). In a consolidation effort Ancona et al. (2001) introduced three categories of temporal phenomena in organizations: conceptions of time, mapping activities to time and actors relating to time. In the last category, the authors differentiate between temporal perception variables and

temporal personality variables. Although actor implies that the analysis can be applied to multiple levels, including groups, organizations, for the purpose of this study society psychologists' traditional individual level of analysis is more appropriate.

Time can be conceptualized as a referent point (Mosakowski & Early, 2000). Actors may view the past, present or future as the most salient time frame. These different temporal orientations may shape their perceptions and behaviors. Amyx & Mowen (1995) associate future-time oriented individuals with high achievement, low impulsivity, the ability to delay gratification, and higher social status; while present-time oriented individuals are more impulsive and they plan less. Future-time oriented people also perceive the future as being closer than their present-time oriented counterparts.

Heuristics and Biases

In the context of a PMI, analysts and consultants preparing the PMI implementation schedule are charged with a task to make their best estimates about the level and timing of the benefits and costs of the integration. However, in spite of the sophisticated financial models they use and the diligent historical analyses they base these estimates on, the forecast schedule is far from being certain. Unlike computers that use algorithms – effortful, detailed and exact rules that guarantee correct result, - in their decision-making humans resort to simplified heuristics because of their cognitive limitations (Keren & Telgen, 2004).

Temporal perceptional asymmetry may lead to disparity of the forecasts. Individuals with a future time perspective were found to be highly goal oriented and having more clearly defined future goals than individuals with a present time perspective (Waller et al., 2001). Individuals' future time perspective was also linked to their preference for short and long term planning: those who view important events as occurring in the short-term have a near future time perspective, while those who have a longer term view have a distant future time perspective (Das, 1987).

P1: Past- and present-oriented individuals will set up more aggressive time schedules for PMI than future-oriented individuals.

Forecasting time schedules for a complex new entity, which has never existed by an external consultant not directly involved in operations, may be subject to numerous biases. For example, availability heuristic based on the ease with which the occurrences can be brought to mind can lead to retrievability and illusory correlation biases (Tversky & Kahneman, 1974). The private and public information surrounding a major event such as M&A create a lot of hype and excitement among investors (French & Roll, 1986) and memories about past deals more salient. But due to the survival bias, only the successful outcomes will continue appearing in the news, thus making accessibility easier and creating a positive predisposition towards the likelihood of success. In the absence of direct company experience, an external consultant would then default to heuristic processing favouring optimistic forecast. Another reason why an external evaluator might maintain an unrealistic optimism is temporal discounting (Highhouse et al. 2002). Individuals might discount future losses because they will not be there to bear their consequences (Kahneman & Lovallo, 1993).

P2: External consultants not participating in a PMI will set up more aggressive time schedules for PMI than internal managers.

Many decisions involve delayed consequences. Experimental research in behavioral decision-making suggests that people consistently devalue the significance of both future losses and gains but loss aversion erodes more quickly than does gain attraction (Highhouse et al. 2002). Coupled with the finding that immediate gains are more psychologically unpleasant than immediate gains (Kahneman & Tversky, 1979), leads to a suggestion that evaluators confronted with a forecast task presented in terms of gains and losses (projected revenue growth and corresponding costs) would be more optimistic in achieving revenue targets than

in accounting for costs. Put differently, they would forecast the timing of the revenues earlier and push costs further into the future. In doing so, they would tend to create more realistic forecasts for costs than for gains, which is in line with prior empirical findings that companies tend to do a better job in estimating cost-based synergies, than revenue-based synergies (Early, 2004). Meanwhile, the consequences of this mis-forecasting are quite serious. Bekier et al. (2001) suggest that failure to focus on revenues is one of the leading reasons of merger failures: 1% shortfall in revenue needs a 25% reduction in targeted costs to stay on track; 2-3% increase on targeted growth can offset 50% cost overruns.

P3: Forecasts for revenues will have a more aggressive time schedules than for costs.

Kahneman & Tversky (1974) point out that biases in evaluation of compound events are particularly significant in the context of planning. A PMI is a perfect example of such an event. As it will be shown in the next section, PMI complexity increases with integration extent, necessitating more linkages to be readjusted and reconfigured. However, the relationship between complexity and timing of the forecast is not unambiguous. On one hand, the successful completion of the undertaking typically has a conjunctive character: for an event to succeed, each of a series of events must occur. Even when each event is very likely, the overall probability of success can be quite low, if the number of events is large. This implies that the great integration complexity would lead to less realistic forecasts.

P4: the greater integration complexity, the less realistic will be the forecast integration time.

Executing Implementation Schedule

Two streams of literature are important for this part of the paper. The complexity literature delineates the types of factors contributing to complexity, while organizational learning literature provides a theoretical lens, which can be used to connect integration complexity to performance.

Complexity

Complexity covers a broad scope from computational complexity to biological and social complexity (Sivadasan et al., 2006). However, the notion of complexity should not be confused with Complexity Theory, which states that critically interacting components self-organize to form potentially evolving structures exhibiting a hierarchy of emergent system properties (Lucas, 2004). Complexity can be associated with something that is difficult to understand, describe, predict and control, but it has a subjective quality since its meaning is largely understood within the scope of the phenomenon at hand (Scuricini, 1987). Extrapolating from various contexts in which the idea of complexity is used, a complex system may refer to one whose static structure or dynamic behavior is counterintuitive or unpredictable. (Deshmukh et al, 1998) Several components contribute to complexity (Sivadasan et al., 2006):

Number of elements;
Degree of order within the structure;
Degree of connectivity between the elements;
Level of variety between the elements; and
Degree of uncertainty or predictability within the system.

The constructs of static and dynamic complexity are especially studied in manufacturing, operations and information systems management. This paper introduces this important construct to the realm of M&A.

Integration complexity

Complexity is an attribute indicating presence of a multitude of objects, which are hard to separate, analyze or solve. Therefore, integration complexity can be defined as a degree of process complexity, which increases with an increase in number of elements involved, the variety of these elements and the degree of difficulty in separating or analyzing them. "The interplay of diversified structure, external and internal firm factors, and firm performance may be more complex than prior research has assumed"(Hoskisson & Hitt, 1990).

The research on PMI has been fragmented so far. However, it provides a basis for developing the structure of the integration complexity construct. Apaydin (2008) proposed that integration complexity is a formative construct, which has three independent theoretical dimensions: integration extent, integration parties' differences, and resource embeddedness.

Integration extent is the amount of work involved in integrating each department. It depends on how much is there to integrate, and how much needs to be changed in the process. Although integration extent increases with parties' relatedness, these two constructs are different because integration extent incorporates the difficulty of integration of related but different functions. Integration extent contributes to the integration complexity by necessitating more changes in the incumbent operations and more linkages among the parts of two companies (Cording et al., 2002): "as the complexity of the interface increases, the need to unbundle and rebundle the target's resources increases."

Integrating parties' differences is the degree of dissimilarity between parties' structures, systems and cultures. The greater the differences between parties, the more elements need to be re-aligned and adjusted, and the greater the effort needed to bring them together into one entity.

Resource embeddedness is the degree of resource tacitness, rarity and immobility, all of which lead to an increased difficulty of PMI (Cording et al., 2002). Tacitness is an especially causally ambiguous characteristic (King & Zeithaml, 2001). It contributes to the uncertainty part of the complexity. Resource embeddedness speaks to a particular part of integration complexity, the difficulty of disentangling the components from the whole.

Integration complexity therefore is a formative construct, which can be visualized as a vector in a three-dimensional space. Since its value is a function of the values of these dimensions, different combinations of these values can produce similar results. For example, PMI A, which has high integration extent but low parties' differences and resource embeddedness, might be similar in integration complexity to PMI B, which has low integration extent but high parties' differences and resource embeddedness. However, it is important to note that being similar in integration complexity does not mean being equivalent. The fact that the vectors have different directions can be interpreted as different types of integration complexity requiring different PMI processes.

Now that the integration complexity construct has been defined, and explained in terms of its three dimensions, I will next turn to its role in meeting PMI implementation schedule as viewed through the organizational learning lens.

Organizational Learning Perspective

Organizational learning research stream has been dominated by the application of a learning perspective to the study of strategic issues, particularly those associated with joint ventures and alliances. As a result, there has been a strong focus on various types of external learning (Huber, 1991; Lane & Lubatkin, 1998). M&A are another arena where external learning takes place.

From a process view (Jemison & Sitkin, 1986), an M&A consists of three phases: pre-deal due diligence and valuation; deal-making; and PMI. The last one is the longest and the

most important phase, being one of the most cited reasons for M&A failure (Haspeslagh & Jemison, 1991). Several groups of scholars applied an organizational learning perspective to the PMI process, coming to the same basic conclusion using various frameworks and different terminology. They all point to a combination of cognitive and behavioral learning (Leroy et al., 1997), which needs to be applied during the integration in a feed-forward/feed-backward manner (Greenberg et al., 2003), whereby the tacit knowledge gets articulated to become explicit and recorded in routines (Zollo & Winter, 2002), which, in turn feed the development of a new tacit knowledge.

Although all these authors draw a distinction between individual and organizational learning, and suggest the mechanism through which knowledge transfer and learning occur across levels, none of them explicitly uses the 4I multi-level learning theory proposed by Crossan et al. (1999). However, the 4I framework lends itself perfectly to this argument. The 4I theory views organizational learning as a four-step process of intuition, interpretation, integration and institutionalization. Attending to both cognitive and behavioral dimensions of organizational learning, this framework consolidates all the proposed theories under one umbrella, and explains in detail, not only what but also how and why. This presents an opportunity to build the PMI performance framework on this elegant and comprehensive theory.

Scholars have proposed several definitions of organizational learning (see Bontis et al. (2002) for a list). I will use the one adopted by Crossan et al. (1999) in their 4I model: learning is a dynamic process of change in behavior and cognition occurring across the three levels of the organization: individual, group, and organization.

Change is a necessary predecessor for learning. "At the core of learning is a process that involves: 1) the detection of a mismatch between one's beliefs and perception of stimuli, and 2) the modification of beliefs to resolve a mismatch. A mismatch, or discrepancy, may be experiences…as a conflict between expectations and actual experience … discrepancies in partner competencies are the fuel for learning" (Inkpen & Crossan, 1995). Thus, the greater the discrepancy, the greater is the need for learning.

An increase in any of the three dimensions of integration complexity will lead to a greater discrepancy between the business reality of joint operations and the knowledge stock at each level of analysis: each party's cognitive maps (individual knowledge and competencies) at the individual level; and business routines at the group and organizational levels. The greater the extent of the integration, the more parts will need to be realigned and the more changes will be involved in bringing the two parties together in one joint entity. Big differences between parties' structures, systems or cultures will require not only large tangible changes but will also demand a high rate of mental and behavioral adjustment. An increase in embeddedness of resources of either party will lead to an increase in the difficulty of sharing these resources (Cording et al., 2002) and will require integrated learning (Inkpen & Crossan, 1995), including knowledge articulation and codification (Zollo and colleagues, 1998, 2002, 2004). Thus, the greater the integration complexity, the more organizational learning will be required for a successful PMI. Capacity to learn is one of the key success factors of PMI (Haspeslagh & Jemison, 1991).

The learning required is not always the learning achieved and therefore "The acquisition process often destroys more value than it creates."(Haspeslagh & Jemison, 1987) The empirical test of the Strategic Learning Assessment Map scale for measuring organizational learning (Bontis et al., 2002) has not only demonstrated a positive effect of organizational learning on collaborative performance, but it has also modeled the learning bottlenecks in the knowledge flows. Greater integration complexity will lead to a bigger difference between the parties' stocks of knowledge and thus will require more flow between them. Put differently, assuming the same rate of learning, a PMI with a high integration

complexity will take longer to adjust the individual, group and organizational knowledge stocks to a new, common level than a PMI with a low integration complexity. Additionally, increased complexity requires more linkage reconfiguration among parts and members of PMI and more learning across all levels. This will invariably lead to a lower rate of performance conceptualized as integration time.

P5: The greater the integration complexity, the longer will be the integration time.

Meeting Implementation Schedule

The debate about the definition of success is intrinsically related to the notion of aspirations. The aspiration level is the borderline between perceived success and failure. It is a result of a boundedly rational decision maker trying to simplify evaluation by transforming a continuous measure of performance into a discrete measure of success or failure (March and Simon, 1958; March, 1988). Individuals and organizations may have different aspiration levels depending on their social and performance history, so the same performance level might be evaluated differently by different parties (Greve, 1998). Thus, different schools adopt different criteria for measuring M&A performance varying between market, accounting or social performance (Haspeslagh & Jemison, 1991), with the financial measures being dominant. M&A success is typically conceptualized as the creation of a broadly defined synergy: the value of the combined firm is greater than that of the two firms operating separately (Seth, 1990a) with non-financial strategic goals being "only valid if they have financial basis and can be clearly translated into financial outcomes" (Chanmugam et al., 2005).

This paper neither focuses on the deliberations about the performance measurement, nor on the benefits of one method over the other. Instead, an aspiration-based view is adapted to control for those differences. Since Lant (1992) argued that the processes of expectation formation and aspiration formation are similar, the dependent variable is conceptualized as meeting performance expectations, which means that the aspiration level is achieved. The benefit of this definition is that it allows us to accommodate different performance views, which may include formalized measures such as an integration plan (Bert et al., 2003; Galin & Herndon, 1999) or represent a subjective view of integration stakeholders of whether or not their expectations are met (as used in the cross-border empirical study by Lahovnik, 2000).

The success then consists of two parts: the performance expectations and the actual rate of performance. The former represents a firm's aspiration level: a prediction about future results, which is usually based on past performance (Greve, 1998) and on the average industry performance: available data are combined with simple processing rules to create an expectation of future performance, which then becomes the aspiration level (Meyer and Gellatly, 1988). So, the performance expectations are an intrinsically subjective, path-dependent measure, even if being formalized in seemingly objective quantitative terms. According to Weick (1984), predicting the future is a difficult task, as people are not accustomed to thinking in the 'Future Perfect' tense. Application of complexity theory to PMI postulates that it simply cannot be done (Mitleton-Kelly, 2005). Instead, she proposes to use an alternative adaptation approach, which implies that aspiration levels will be constantly changing during the PMI process. However, in managerial practice, the expectations are usually set before the PMI process begins, and are rarely changed (Galin & Herndon, 1999). The rate of performance, which includes financial milestones achieved and the speed of integration, on the other hand is an objective variable, which can be measured (Apaydin, 2008).

Given human bounded rationality (Simon, 1945), our ability to conceive of, not to mention predict, is diminishing with the complexity of the task at hand. Research has shown that companies tend to underestimate the efforts required to complete integration (Sirower,

1997; Early, 2004). On the other hand, an increasing complexity would require more 'linkage reconfiguration' among parts and members of PMI and more learning across all levels. This will invariably lead to a lower rate of performance. Therefore, integration complexity will negatively impact the both parts of the dependent variable. On one hand it will lead to over-optimistic expectations, and on the other, it will slow down PMI process, decreasing the chances of meeting the performance expectations, leading to the high rate of M&A "failures" that we observe in the literature.

Conclusion

The main contribution of this paper is the theoretical explication of the role of time within a comprehensive framework, which includes both, PMI and its antecedent, the pre-deal valuation. This linkage across different stages of an M&A has not been done before. Financial analysts, who rarely participate in PMI, underestimate implementation time, which then becomes an excessively aggressive deadline, usually missed because of unanticipated integration complexity.

The theoretical contribution of this work is three-fold. First, it applies basic psychological theories to explain behavior of PMI evaluators. Second, it develops a new formative construct, integration complexity, specified in terms of its three dimensions - integration extent, parties' differences and resource embeddedness and explains its impact using theories of complexity and organizational learning. The history of applying the organizational learning lens to the PMI context is relatively recent, and research on the subject has been quite fragmented. Meanwhile, the consolidation of the organizational learning perspective itself has culminated in the 4I framework, which explains both cognitive and behavioural learning processes across levels. Application of this framework helps to hypothesize and explain the empirical results. Third, this paper invokes aspirations theory to tie together the two contributing factors of success in meeting performance expectations: forecast and realized implementation schedule. Overall, this paper presents an opportunity to link together multiple theories and promote cross-discipline collaboration in such an important area as M&A context.

Limitations

Being devised in general terms, this framework is based on certain assumptions and has limitations. The model assumes two firms participating in an M&A, while more parties might conceivably enter the deal. Conceiving integration complexity as a vector implies two attributes: a value and a direction, whereas only the former has been treated in this paper. The role of geographical distance between locations is not explicitly treated, although it can be incorporated as an element of the parties' differences dimension. On the other hand, there is no reason to exclude international M&A from this model, as they are often included elsewhere. The parties' differences dimension includes national cultures and thus can be used for both national and cross-border M&A research.

Future research

Future researchers could test the propositions presented in this paper, or tackle some of the limitations presented here. Eisenhardt (1989) suggests using exploratory case studies for building a grounded theory. She maintains that it can be particularly useful for the development of new constructs. As a further expansion of the model, the relationship between integration time and performance can be studied in more details.

Managerial implications

The proposed concepts have far-reaching implications for managers. Participation of the PMI manager in forecasts and awareness of the behavior biases can lead to more realistic expectations. Given the low success rate across the board, but the persistent growth of M&A transactions, managers can learn how to be more successful by either redefining success or by speeding up the process. The former can be done by learning how to deal with discrepancies in the aspirations of different stakeholders, and how to adjust the expectations based on the level of integration complexity. The latter would require a rigorously planned and enforced organizational learning process to aid in dealing with integrations of high complexity.

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DEFENDING THE EMPIRE: MILITARY TRADITIONS IN COLONIAL MIANWALI

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Introduction

This paper brings into focus the military traditions in Mianwali District in Colonial era. Due to its proximity to Salt Range areas of Jhelum, chakwal, and Shahpur districts, the recruits in this region were considered ideally suited for the harsh military conditions, primarily owing to their physique. An increasingly large number of recruits served in the colonial army in order to supplement their agricultural income derived from haphazard cultivation. Mianwali is a region inhabited by various tribes, kinship or biradaries as it is put in local parlance. The district had overwhelmingly Pathan population along with other communities including Jats, Baluch, Rajputs and Khattaks. Tribes and castes not only symbolized strength and power but also served as the identity marker. Ethnic prejudices and sense of superiority of one clan over another were the defining features among Pathan clans. Economic interests and ethnic prejudices had fostered inter-tribal rivalries and stunted mutual harmony and social cohesion. Tribes lie at the heart of rural identity. Tribal identity itself served as a wedge, precluding unity among the tribes. The British recognized the social and political importance of this tribal structure to strengthen colonial rule in this region. Colonial interests were served by the policy of cooption of rural elite, who served as intermediaries in the colonial hierarchy of power. A class of landowners was created in the district to serve as a nexus between state and people by means of lucrative grants. Hence a tribally based local administration was conjured up. The rural leaders legitimized their authority through their lands, an insignia of power and prestige and their connection with the British officials. The local leaders emerged from the Khawanins of Isa Khel, Nawabs of Kalabagh, landed aristocrats of Piplan,Wan Bhachran, Bhakkar, Whereas other tribes faced economic marginalization. This gap subsequently exacerbated the inter-tribal misgivings. The colonial state and rural elite developed a nexus to relegate the district to economic marginalization, as a result enlistment in army was left as the only alternative for subsistence.

Mianwali was not accorded substantial significance in the colonial system as it had a peripheral location in the Punjab and was essentially located as a recruiting region. The main tribes who were recruited in the army were Bhangi Khels and Khattaks from Isa Khel although small in number, supplied excellent warriors to several regiments of the Frontier Force. Awan tribe living on the fringe of Talagang Tehsil and the Zangeza Balochs in the Dab region joined 15th Lancers in large proportion. [414] The Bhidwals, another Jat clan, inhabiting the south-east of the Bhakkar Thal had a natural inclination towards military service. The Baloch constituting considerably large part of the population of the Bhakkar Tehsil, joined Cavalry Regiment specially to the 35th Scinde Horse. [415] Niazi Pathans of Pai Khel, Bori Khel, Musa Khel, Tari Khel and Moch had long been associated with the military service. Baluch who constituted large part of cavalry were known as camel riders. They held pride in their sword and warrior tendencies so they preferred army as their choicest inclination. They had a distinct tribal and political organization and were largely migrated to cis-indus tract in east of

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[414] *Record of the War Services of the Mianwali District, (1914-19)* D. J. Boyd, Esquire, ICS, Lahore, Civil and Military Gazette Press 1922, p 1
[415] Ibid.

Thal under their chiefs and leaders. The eastern Thal region was not agriculturally rich which drove them towards army as only alternative. Bhangi Khels and Khattaks were settled in IsaKhel, were a fine manly race. They had warlike nature and had been involved in feuds for centuries. They were industrious and good cultivators but they possessed stony and unfertile tract with very meager economic resources. This economically marginalized tribe secured economic shelter in army. The Rajput's presence in colonial army could also be seen in the context of their feudal instinct. They preferred pastoral to agricultural pursuits as they despised agriculture and all manual labour was looked upon as derogatory. Military exposed all these warrior tribes to an opportunity to satisfy their martial self-image apart from economic security. In a socially conservative society of Mianwali, the tradition of military service came to be perceived as a mark of social status and not as a career. In the district which was overwhelmingly constituted by Pathan population, the desire to maintain a warrior tradition among certain tribes e.g Rajputs, Baluch and Khattaks was there, however, there were equally important economic factors that motivated enlistment in the army, which can be considered as fundamental push factors. Military service promised a regular pay, pension and land grant too. Many families were dependent on military earnings. According to Tan Tai Yong, "Military service offered an escape route from the ecological impasse."[416]

The Salt Range tract including Mianwali was agriculturally disadvantaged and the people found an easy outlet to seek future in the army. The study also reveals how substantial was the role of rural elite as recruiting agents in war efforts to raise the level of recruitment in the district. The rural elite had developed a nexus with military command to help in enlisting men in the army and also provided economic assistance to the colonial government. The Niazi pathan tribes figured significantly in the district but they had a meager presence in the army which does not corroborate the widely believed British assumption of pathan as a martial race. The reluctance on the part of pathans to join army was seen as resistance against state's authority.

Mianwali District

Mianwali district is located in the north-west of the Punjab and had been most south-westerly district of the Rawalpindi Division of the Punjab[417]. The district comprises of three sub-divisions namely Mianwali, Isakhel, Piplan. Mianwali is a bordering district of the Punjab, having common borders with district Kohat, Laki Marwat and D.I.Khan[418]. Mianwali was sliced away from North West Frontier Province, incorporated into the Punjab and was accorded the status of a district in 1901[419].

After the annexation of the Punjab, the district was brought under a centralized and elaborate administrative system. It was a time when major districts in the Punjab ushered in an age of modernity, however Mianwali remained distinctively backward. Due to its peripheral location in the West Punjab, it remained quite low in the priority list of the British regarding their imperialist scheme of things. Colonial indifference was reflected quite explicitly on over all state of the   district as Mianwali had supposedly no tangible bearing on the politics and economy of the Punjab. Its separation from mainland of the Punjab had made the natives politically inert and virtually ignorant. There was hardly any investment in the education, socio-cultural development, infrastructure and agriculture, although the district had an overwhelmingly agrarian economy. The colonial policy was hinged on the perception that investment must yield economic benefits. The prospects in Mianwali were not in consonance with the colonial ideology. Hence the district was essentially identified as a recruiting region,

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[416] Tan Tai Yong, *The Garrison State*, p. 83
[417] Gazetteer,Mianwali district 1915,Lahore;Sang-e-Meel 1990, p.1-2
[418] Ibid
[419] Ibid, p. 42

the social and economic backwardness of the district substantiated the colonial policy enshrined in "Martial Race Theory."

Martial Race Theory in a historical context

Military remained one of the most distinctive features of the Punjab's colonial history. The Punjab as one of the last annexed region came into colonial fold as a "non-regulation" Province. With the turn of second half of 19th century, following the events of 1857 the Punjab became the "sword arm of the Raj". The revolt of the Bengal army in the wake of war of independence(1857) brought a reversal in its policy of demilitarization. The Punjab was once again ready to be rearmed. In the Punjab a strong military tradition existed which subsequently made it " sword arm of the Raj". The post 1857 India witnessed a major shift in the imperial Ideology which was engrossed in two central themes.[420] One was the redefinition of the relationship between colonizer and colonized and second was the redirection of strategy.[421] Post 1857 colonial State looked for new allies with unequivocal loyalty to them. The Traditional elite was restored to its Punjabi position and the recruitment was shifted to newly annexed region of the Punjab.[422] The Punjab although politically backward,[423] proved its loyalty during the crucial hours of 1857 war. That is why the Punjab graduated to a position of priority in the colonial hierarchy, as Mustafa Kamal Pasha states

"Punjab's rise signaled an ideological retreat for the British from a position of self assured dominance to one marked by mistrust and self doubt."[424] The army was now reconstituted on different pattern in which Sikhs, Punjabi Muslims, Gorkhas, Dogras, Pathans and Jats formed the essential components.[425] The opening of the Punjab for recruitment was also enshrined in the "Great Game" against Russia and in the "Martial Race Ideology".[426] The popular belief of the 19th century in the British soldiers was that, "Certain clans and classes can bear arms, the others have not the physical courage and skill necessary for the warriors."[427]

So the full blown theory of 'martial race emerged as a result of 'Russophobia'[428]. By the early 1880, a long series of Frontier skirmishes cultivated the Russian fear among the British that they might have foment the trouble in Indian north. In the face of the pressing threat from the north-west, it was imperative to enlist in areas closer to northern border.[429] Lord Roberts the commander in chief of the Bengal army (1885-1893) was the main spokesman of Martial Race theory. [430]

Recruitment in the district :

Pathans of the Mianwali district were considered ideally fit for armed services,as the pathan was supposedly inclined to display the cult of masculinity and willingness to bear arms. Even though there existed the military traditions in the district nevertheless we don't see

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[420] Ibid pp.11-12

[421] Ibid,

[422] Ibid , p. 12

[423] Ibid.

[424] Ibid, p.13

[425] Ibid, pp.68-69

[426] Tan Tai Yong, *The Garrison State,* pp.68-69

[427] Ibid, pp.59-60

[428] Ayesha siddiqa, *Military Inc.Inside Pakistan's military economy*,(Karachi; Oxford University Press, 2007) pp, 59-60 British India's uneasy relationship with its western neighbour Afghanistan was now complicated by suspicions of Russian intentions to extend their imperialist designs in to India.The British military authorities in India became obsessed with the "Great Game" with Russia, and were no longer content to maintain the army in India merely as an internal policing force and to stop Russian drive towards warm waters of Indian Ocean.

[429] Mustafa Kamal pasha, *Colonial Political Economy,* p.36

[430] David Omissi,The sepoy and the Raj, p.25

a sizeable increase in recruitment during the world war 1, which could not be associated with any one particular factor. One of a reason that the district had an ample agricultural land which needed manpower and every recruit to the Army meant a serious loss in agricultural power, carried currency.

At the outbreak of the War, 1,159 men were recruited in the army from the district. On the 1st January 1916 their strength was raised to 1,527 combatants. [431]

Recruitment process invigorated when depots were setup in the district under the supervision of recruiting officers who were civil officers and rural elite.

2,598 combatants and 299 non-combatants were raised in the district since recruiting was undertaken by civil officers in Jan 1917.[432] The table shows the respective standing of various tribes of the district in the army.

In the army		Proportion of total males of military age
Pathans	652	1 in 5.3
Biloches	344	1 in 6.3
Jats	969	1 in 19.5
Awans	445	1 in 6.5
Syeds	125	1 in 11.3
Kamins	434	1 in 15.3
Hindus (Arora)	62	1 in 55.7
Total	4,029	1 in 13.5[433]

Among the Pathans, the Bhangi Khels entered the British Army in large number. Out of 1,300 males of military age, 727 joined army that was one in 1.7.[434]

District recruitment figures of Punjab (1914-1918).

District	Number of enlistees during the war
Rawalpindi	31,291
Jhelum	27,743
Amritsar	21,988
Ferozpur	18,809
Ludhiana	18,067
Attock	14,815
Shahpur	14,040
Sialkot	13,376
Gujranwala	12,618
Lahore	10,054
Lyallpur	6,507
Multan	4,636
Mianwali	4,242
Montgomery	2,813
Dera Ghazi Khan	1,012
Jhang	946

Source: M.S. Leigh, Punjab and the war, pp. 59-60

The role of rural elite as recruiting agents and the land grants to intermediaries

The period between 1916 and 1919 witnessed the civil and military institutions coalesced in to single machinery to generate recruits. The civil-military nexus and the support of the civil bureaucracy towards the military establishment mobilized the entire province for manpower in war. It also resulted in the emergence of a potent rural military lobby which had

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[431] Record of the War services of Mianwali District,(1914-19) D.J>Boyd, Esquire,ICS, Lahore, Civil and Military Gazette Press 1922, pp 2-3

[432] Ibid, p.3

[433] source ;*Record of the War Services Mianwali District (1914-1919)* p.3

[434] Ibid, p.4

its impact on the post war politics of the Punjab as well.[435] A tremendous amount of donations and investments were extended by landed elite in the districts of the Punjab who served as rural intermediaries between the state and populace.[436] The British government found it the most effective and convenient way to subjugate the indigenous people through local collaborating groups most importantly, the rural elite. They extended their influence to generate man power as "military contractors". Those who served in the army were given the highest regard.[437] The imperial authorities further strengthened their social and economic positions by land grants and inclusion of rural magnates in administrative setup of the Punjab.[438]

The 130th Baluchistan infantry established a forwarding depot in Bhakkar. The124th Baluchistan infantry set up a depot in Mianwali and enlisted 500 young men from the district in 2-21st Punjabis.[439] The Local elite were made part of depot who extended their help in recruitment. Generally natives remained reluctant in joining army. 'Major Sparkes' of the 54th Sikhs (F.F) wrote that "the effort required to get one recruit in the Mianwali District would have procured three anywhere else."[440]

During the War days, the district was managed by Deputy Commissioner, Major A.J.O Brien,C.I.E , raised 316 Sarwans and muleteers. The divisional officers, Tehsildars, Magistrates and Zaildars wielded authority among rural population and demonstrated their indispensability to the State in recruitment. Prominent among them were, Malik Zaman Mehdi Khan, Sub-Divisional officer and his brother Malik Sultan Mehmud Khan as Tehsildar.[441] The Assistant recruiting officer of the district was 'Khan Saifullah Khan'. Among non-officials the most successful recruiters were khan sahib Malik Laddhu khan, Khan sahib Malik Ameer with his son Risaldar Malik Muzaffar khan, Malik Muhammad Qasim of Chakrala and Khan Bahadur Abdul Karim Khan of Isakhel, had tremendous influence in rural society and had been an invaluable support to the administration.[442] Syed Ata Muhammad Shah of Dher Umeed Ali, belonged to a Syed family and had religious influence among his people. He got 35 near relations enlisted in army. The pir-murid network marshaled people for enlistment in army. He received a jagir of Rs.500 a year in recognition of his services.[443]

Kin- based solidarity and Biradari identity, the important elements in rural social organization were used by local elite to influence people. British constructed a system in which through grants of land the rural patrons were bound to the colonial state. The district was awarded six rectangles for assistance in recruitment. The British ensured the loyalty through rewards which transformed a military district into a military labour market.[444] For the services rendered in war, Two rectangles were given to Malik Muhammad Qasim of Chakrala who raised 100 recruits for the British Army.[445] Two rectangles were given to Malik Ghulam Haider Khan, Zaildar of Darya Khan, who in addition to producing 76 recruits, rendered great assistance in the matter of transport for the troops operating against the Mahsuds and assisted the camel corps encamped near Darya Khan.[446] The title of Nawab was conferred on Malik Atta Muhammad Khan of Kalabagh in recognition of his generous contributions to War funds. The title of Khan Sahib was given to Malik Ameer Khan, Zaildar of Wan Bhachran, and

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[435] Tan Tai Yong, *The Garrison State*, p.139

[436] Ibid, p.125

[437] Ibid, p.31

[438] Ibid, pp.130-131

[439] Record of War Services Mianwali District (1914-1919) p.4

[440] Ibid.

[441] Ibid, p.5

[442] Ibid, p.6

[443] Ibid, p.6

[444] Tan Tai Yong, The Garrison State, p.96

[445] *War Services Record of Mianwali District*, p.7

[446] Ibid.

Malik Laddhu, Zaildar of Kotla Jam, for their recruiting services.[447] Khan Rab Nawaz Khan of Musa Khel succeeded his father in Durbar in lieu of his recruiting services.[448] These rural magnates also contributed to British Army in money and materials. Rewards distributed in the Punjab during First World War

District	Titles	Sword of honour	Jagirs	Land grants
Hissar	13	-	1500	52
Kangra	2	4	500	85
Jullundar	19	2	750	92
Lahore	39	3	1000	101
Amritsar	17	-	750	176
Gurdaspur	5	2	-	147
Sialkot	4	-	250	83
Gujranwala	6	1	1000	115
Gujrat	5	3	250	72
Shahpur	16	11	200	191
Jhelum	17	6	500	157
Rawalpindi	18	6	1,750	118
Attock	7	7	1500	171
Mianwali	4	1	500	97
Montgomery	1	-	-	30
Lyallpur	10	2	750	15
Jhang	3	-	-	17
Multan	9	2	500	78
Muzaffargarh	3	-	500	101
Dera Ghazi Khan	10	1	-	207

Source : M.S.Leigh, Punjab and the War, pp.140-74

Contributions by rural land holders in the district:

First war loan of 1917, was of a staggerring sum of Rs 2,91,469-8-0 including one lakh contributed by Nawab Atta Muhammad Khan of Kalabagh and Rs.3,000 by Khan Bahadur Muhammad Abdul Karim Khan of Isa Khel.[449] Malik Atta Muhammad Khan of Kalabagh also paid for 30 British Cavalry Remounts.[450]

Second war Loan of 1918 had received a subscriptions of Rs 3,11,4438-4-0 up to 31st March 1919, including Rs 50,000 from the Nawab Atta Muhammad Khan and Rs 1,000 each from Khan Bahadur Abdul Karim Khan and Khan Sahib Malik Ameer Khan.[451] This is interesting to note that a handsome amount of second war loan was given mainly by the traders and the money lenders.

The district offered a large contribution to the aeroplane fund. An amount of 1,46,295 was subscribed which included Rs 75,000 from Nawab of Kalabagh and Rs 10,000 from Khan Bahadur Muhammad Abdul Karim khan.[452] Rs. 35,000 were specially contributed by the Nawab for the purchase of remounts. An amount of Rs. 10,446 was added into the Imperial

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[447] Ibid,

[448] Ibid,

[449] [449] *War Services Record of Mianwali District*, p.7

[449] Ibid.

[449] Ibid,

[449] Ibid,

Ibid, pp.7-8

[450] *The Punjab and the War*, M.S.Leigh O.B.E. , I. C. S, (Lahore:Government Printing Press, 1922) p.122

[451] Ibid, p.8

[452] Ibid,

Indian fund.[453] An amount of Rs 46,928 had been subscribed in Red Cross and St.John Ambulance association funds.[454]

Resistance by native Pathan Tribes

In view of all these facts, it had been observed that generally enlistment of Pathan tribes in the army had been fairly marginal in this district. The reason may be located in the inherent nature of Pathan, who had ethnically an overbearing disposition, declined to accept a subordinate character. Although the Pathans of Mianwali had been much complaisant by the agricultural life of the plains, nevertheless the free life in the rugged mountains accorded them a masculine independence which showed its resilience quite often. Moreover, the Niazi Pathans were mostly settled in the Cis-Indus area of the district, possessing fine agricultural lands which provided them a reliable source of income. Hence enlistment in army was not a desirable option. However, the traditional perception of the British about Pathans as martial race, who possessed military dexterity, martial prowess seemed to be dispelled in case of Mianwali District. Pathans in the district were visibly reluctant to enlist in the British Army. The reluctance is seen as an invisible resistance against the army, a weapon of relatively powerless groups, who avoid any direct confrontation with authority. There was no dramatic confrontation with state in the district as open insubordination might provoke a rapid and serious response by the government than an insubordination which was pervasive and never ventured to contest the hierarchy and power. The method of passive resistance was nearly unbeatable because state had nothing to call into question, provided it was not expressed as open defiance. In a colonized territory the natives lived as exploited groups, accepted the colonial political and social order especially in a situation where exploitation was taking place in the context in which the elite or the state used the coercive force to virtually suppress the open expression of discontent. In such a society covert and pervasive resistance is the only possibility.

However, there were a few attempts of agitation against the government. Some rioters attempted to enter district from Jhang district in 1915, aimed to provoke the natives for an anti-government agitation. The situation was controlled with the assistance of Lambardar of Dhingana in Bhakkar Tehsil.[455] There were also sign of unrest in the village of "Chidroo" at the beginning of war. It was reported that arms were being secretly collected for uprising against state. Mian Maluk Ali, a religious figure of the district assisted government by using his influence among his disciples and a rigorous process of disarming was undertaken[456]. These facts had vividly demonstrated the discontentment of natives, infused with anti-government sentiments, failed to manifest itself in a patent expression of defiance under a centralized hierarchy of power. The British controlled such acts of defiance against state with the help of religious and political influence of rural leaders. With a secure religious base in the countryside, the religious leaders exploited the pir-murid nexus in the favour of imperial government. Another reason for passivity was that the various Pathan clans when settled in Mianwali kept their tribal customs and traditions intact however their cultural traits coalesced with other cultural and social strands. Hence in the changed social context , the traditions and customs also underwent change, giving rise to a new set of social practices. Such cultural affinity among various tribes and clans, however failed to forge unity among tribes. Their ethno-centric behaviour hinged on the notions of tribal superiority, triggered internecine misgivings. Consequently the pathan tribes could not strengthen themselves in to a cohesive whole thus the tribal affinity got diluted and in the absence of inter-tribal unity and social

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[453] Ibid,

[454] Ibid, p.8

[455] Record of War Services Mianwali District (1914-1919), p.10

[456] Ibid, p.10

organization, the possibility for joint resistance against state apparatus evaporated. The local elite who were close to the power structure, controlled the ideological sector of society and created a symbolic climate which prevented the marginalized groups from thinking their way free. Hence they developed a conformist mind set vis-à-vis colonial state instead of call in question the suzerainty of the British. However, the covert and passive resistance tried to contend with the State's authority whenever feasible. The district's virtual seclusion from the mainstream of Punjab's politics had accorded its people backward, ignorant and generally indifferent disposition. Society was divided into three groups, one was of rural elite who worked as intermediaries of the imperial government and sustained their colonial rule. They were contemptuously called by natives as toadies. Second group who was in majority did not care who ruled as long as they were allowed to live peacefully. The third, very small group showed interest in self-rule and freedom. In 1919, when Rowlatt Act was passed and a virulent anti-government agitation started throughout the province, an act of agitation was also demonstrated by a few railway employees at Kundian railway station[457]. They disrupted the tele-communication system, the situation was soon controlled by deployment of troops at Kalabagh, Mianwali, Daud Khel, Kundian and Bhakkar to guard railway communication[458]. This indicated that a slight attempt of commotion provoked such a serious response by the government. The disturbance also revealed a fact that the people involved in the act were based in other districts and had an adequate awareness about the political turmoil in the Punjab, where as the natives were politically inert and had no political acumen. There were very few occasional processions carried out by volunteers, chanting anti- war slogans in the streets of the district, who were mostly Hindus[459]. Muslims had a very marginal presence in such political activities , owing to their illiteracy and less affluent status in the town. However, this freedom oriented spirit was never admired by the native employees of the government and tried to dissipate their assemblage, as they did not want to risk their jobs by coming to adverse notice of authorities. It was generally assumed in the district that the "Angrez" ruler though mostly not visible, was watching every movement of native.[460] Poverty was an overriding factor in the passivity of local populace which arrested their ability to resist and caused insurgence. They developed a mind-set to survival rather than to pose challenge to the state's suzerainty. Where as British perception about Pathan was contextualized, the defiance of Pathan against colonial government was declared as being lethargic, whose fighting capacity had become quiescent.

Conclusion

The configuration of various communities living in Mianwali had given society a tribal pattern. The district faced a subaltern status vis-à-vis other districts of the Punjab owing to its geographically peripheral location. The British assumed that investment in the district did not yield a tangible return on its outlay and so it became a recruiting ground for colonial army. As a result district retained its distinctively backward and essentially tribal status.The study revealed that the economic marginalization of tribes was exploited by British to their advantage and turned them into cannon fodder for colonial army. The process of enlistment was accentuated by developing a nexus between military command and rural landholders, who shared the colonial power structure and thrived themselves at the expense of other tribes , augmented mental division in society. Reluctance of pathan tribes in joining military service should actually be seen in the context of marginalized tribes having no political clout in the district resented their status, traditionally dominated by land holders.

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[457] District and Miscellaneous reports on the Punjab disturbances, April 1919.,

[458] Ibid

[459] Harish Chander Nakra, Wichra Watan, p.44

[460] Ibid, p.45

ANALYSIS OF ROLE OF MEDIA IN DISASTER REPORTING IN PAKISTAN

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Abstract

Disaster brings serious disturbance in the regular activities of a community or society and may cause loss of lives, livelihoods and environmental disorder. These natural disasters are more challenging in the developing countries like India, Pakistan, Nepal, Bhutan, Bangladesh etc., where the impact of these natural disaster is often most devastating.

Media is the most important source of information on hazards and disasters for people. From the many decades role of mass media in disaster situation have received less attention by the researchers. Media play an important role in awareness raising and providing information to the masses. This role becomes crucial when it comes to reporting during disasters.

The research concluded that currently no code of conduct is available in authorities for reporting the disaster, however some training is provided to the reporters. Currently all the news channels including private and national news channels have self-regulatory code of conduct whereas any code of conduct for natural disaster reporting is still not exists in Pakistan. There is a need that National authorities formulate code of conduct for disaster reporting and disseminate it to the entire news channel so the channels and reporters are bound to cover the disaster within the limitations. At the end Guidelines is provided for Disaster Reporting that may help to alert the officials, emergency and aid organizations, about the specific needs of the affected people in the wake of disaster and in the provision of , accurate, timely, and sensitive information to the public.

Keywords: Disaster, media, disaster reporting, code of conduct, Pakistan

Introduction

Media is the most important source of information on hazards and disasters for people. From the many decades role of mass media in disaster situation have received less attention by the researchers. First step was taken by National Research Council who organized workshops in February 1979 in USA on media and disasters. National Academy of Science published its first report in 1980 which was entitled as Disasters and Mass media. This publication contained several reports which was presented in 1979's workshop. This report was the first attempt to focus on the media conduct during disasters. This report also highlighted the roles that media can play in times of disasters, which include raising awareness about the hazard by educating them, educating about the disaster warnings and its dissemination, details of hazard or disasters and its impact (including physical, economic, social, psychosocial), information provider about the sources of disaster assistance and coordinating with government and emergency response organizations. Media have always

been concerned with events and stories which have human impact. Natural disasters in some sense have the most impact as they destroy a large volume of human and material elements. Media provide the latest information and updates on the catastrophe and ongoing occurrences. Reporters are interested in collecting data and information about damage, destruction and casualties even when no one is yet clear about the situation in the early stages of the disaster. Responding to the increased interest of people for information about natural hazards in the wake of a natural disaster, media often go to their resource files and disseminate background information about natural disasters to cover the time and space allocated for disaster news stories. Such background information helps create awareness among the people about causes, impacts and aftermaths of a natural disaster.

However, in many disasters, it was seen that the media remained focused on the single story event (Joseph Scanlon & Alldred, 1982), such as the coverage of 2005 earthquake in Pakistan, ice Storm in Ottawa, Hurricane Katrina in USA and fires in Russia. As Miller & Goidel (2009) have noted, during Hurricane Katrina, the media had the invaluable role of reporting the 'breaking news' and everyday developments of the disaster, but were unable to gather contextually rich information about the causes and consequences of the natural disaster. Media such as television and newspapers also tend to favour the dramatic components of the disaster if they are available to "pump up ratings" and to be critical of governments (Ardalan, Linkov, Shubnikov, & Laporte, 2008). Media personnel are trained to gather information. Moreover, they are also trained to compete. They jump into an unknown situation to capture the story in the rush of being the first, original and exclusive. During disaster, hype is moved more quickly by the reporters competition with a desire to be the first to give the report on the incident. So journalists try to reach the scene immediately and use traditional as well as non-traditional methods to gather information which in turn becomes a commodity. Reporters not only head towards the scenes themselves but also rely on gathering information from victims, survivors, rescue workers, relief activists and government officials. Thus, media make the best use of the opportunity to sell themselves as organs of information when a disaster strikes. Their sole purpose to be there at the scene of disaster is to uphold their status of information provider in the eyes of the audience who thoroughly rely on the media for this specialized task

Analysis of Disaster Reporting in Pakistan:
While conducting the analysis following strength and weaknesses in disaster reporting were observed
Strengths
- Media channel provide the real time image
- Communicate the risk
- Act as a bridge of communication between victims and general public.
- Announce appeals of aid.
- Motivate the general public to help the victims
- Divert the attention of the officials towards the Tarbella Dam need
- Communicate the risk of epidemic
- Communicated the suffering of people to the officials.
- Divert the attention of the government for the need assessment
- Act as watch dog on donations, donations are given but not received by the affected people ARY news.
- Gave weather forecast for coming days.
- Helped the government on giving the early warning to evacuate the places. As people do not want to evacuate their places.
- Update the general public about the current situation of the suffering of the victims.
- Some news channel went to give aid to the victims

- Showed that which agencies and authorities work in front line
- Realize the government that it's not the time of fight but the time to help the victims.
- Update the general public about the preparedness of provincial authorities
- News channels brought the scale of devastation of the disaster into public knowledge
- They exposed the fake medical camps which were shut down after the visit of Prime Minister Yusuf Raza Gilani.

Weaknesses

- While reporting in the wake of disaster, Media personal talked directly to the victims just after the event. They show the anger of victims upon the government on television screens. This may results in the loss of credibility of government in front of international organizations. That's why international don't give donation directly to the organizations and send the donations through their friend organization like NGOs, In this way donations receive but it slowly come to the affected people. Media reporters should not display such type of anger on the screens.
- It is seen that media reporters made the stories on the suffering of people which show the victim as helpless and in degraded situation.
- Media every time degrade the government on their feeble response.
- It is seen that while reporting when they are not confirmed about the fact and figures on deaths and damage of roads and bridges, they are giving wrong figures about the damage by their own assumption
- It is seen that media report on the event as make them breaking news, as the time passed i.e., after 3 months when the flood water was no more they did not communicated the suffering of affected people who are still in pain.
- They gave the information on response and relief phase.
- It is seen that some news channels give the biased coverage to the political parties and exaggerate their donations.
- Showed that there is no coordination among the government.
- The reporters choose the places that are easy to cover
- Extraordinary situation require extra ordinary effort. Which is not seen?
- Many channels that cannot cover the event by going there take the video from other channels and make that news.
- Reporters tend to exaggerate the situation.
- The rescuing efforts were ignored by the reporters.
- For attracting more audience, some news channels showed that media reached those places where government has not reached yet.
- Some news channels use these disasters for promoting their own channel i.e., like Aaj news, Geo News, Ary News channel shown their team giving aid to the affected people, and some channels like express news started express relief fund to promote its channel, it can be effective if there is transparency and accountability.
- Some of the reporters engaged with politicians to display their relief effort. It was good attempt but during disaster reporting, the reporter should give an objective view of the situation.
- Flood 2010 reporting showed that the women are actively engaged in reporting from ground in the affected area and in the discussion of reconstruction. But women reporters and anchors emphasized more on governance issues rather than emphasizing the health and protection issues which was the foremost concern for women and children in the affected areas observed.

Conclusion

Disaster reporting, when the disaster is of high magnitude is very difficult. It is viewed in the literature that developed counties even USA media faced immense criticism for its reporting of hurricane Katrina in September 2005 for providing sketchy information and presenting rumors as facts (Mann, 2007: 231). At the same time President Bush was accused by the media of slackness in responding to the hurricane. President Bush's defenders gave a lot of explanations of which one was that Bush was correct not to visit the disaster sites immediately because to do so would have greatly complicated the relief efforts on the ground.

Since natural disasters are increasing all over the world, such events are more challenging for developing countries like Pakistan because of lack of preparedness. Media played a very important role in covering two major natural disasters, Earthquake 2005 & Floods 2010. Each day media gave updates regarding warning, alerts, awareness, evacuation and details of victims. Media acted as a bridge of communication between affected people, general public and national and international aid agencies. Media showed that during these events the rescue and relief activities are self-motivated and that during these events NGO's, armed forces, and volunteers provided the immediate relief to the victims. During both events media played a key role in assessing, mobilizing and prioritizing the need of goods and medicine. On the other side Media's constant focus on governance has engaged public interest in earthquake 2005 and flood 2010. Media every time degrade the government on their feeble response. While reporting both events, Media reporters talked directly to the victims and cover the anger of victims upon the government on television screens. This may results in the loss of credibility of government in front of international organizations. For this reason international aid organizations don't give donation directly to the government and send the donations through their friend organization like NGOs, in this way although donations received but it slowly come to the affected people. Media reporters should not display such type of anger on the screens. By conducting the in-depth interviews with media officials it is concluded that currently no code of conduct are available in authorities for reporting the disaster, however training are given to the reporters as said by the PEMRA officials. Currently all the news channels including private and national news channels have self-regulatory code of conduct where the conduct of natural disaster reporting is still not existing after two mega disasters in Pakistan. So there is a need that National authorities make code of conduct for disaster reporting and disseminate it to all the news channels so the channels and reporters are bound to cover the disaster within the limitations.

Proposed Guidelines

• As the people trust the media, so it is the responsibility of electronic media reporter to seek and provide the true information to the public. Reporters should be answerable for their actions.

• Media have the capacity to provide the services to public in the wake of an event. They can give the direction to the affected people and disseminate the information to public that similar disaster can happen in the future. It is possible only when media be a part of disaster planning before the event because their reporting will be more informative and accurate if media know the local players and programs ahead of time. Emergency managers need a well-informed media to communicate with the public regarding the priority of needs, the progress being made and to correct and dispel rumors.

• Electronic media reporters should tell the public on the importance of preparedness by producing programs, documentaries, dramas, and songs on natural disaster and its impacts.

• An off air activity should be organized by electronic media in which it is informed to the public in advance that a program on natural disaster will be broadcasted live together with the local residents of particular area in which reporters can convey the experiences of people

related to the disaster, communicate the costliness of life, and the significance of preparedness to the general public.

• Electronic media can play a very important role in providing the early warning to the public but care should be taken while transmission of the early warning. It should be in in clear words and confirmed through the reliable sources to avoid the false reports and unnecessary panic.

• In the wake of disaster electronic media reporters should have to get ready themselves with the background of disaster at hand and should examine the information which they received from official sources.

• Reporters should confirm that the information being provided is accurate.

• Reporter should treat disaster affectees with respect by thinking that how would he want to be treated in a similar situation.

• Reporters should proceed towards the survivors carefully and the reporters must be trained on when and how to back off from the situation. They should expect severe responses from the victims. They must be trained of not giving the same response back to the victims.

• Reporters should not ask the survivors violent questions first and should not talk too much with victims.

• Reporters must find practical ways of helping the victims within the communities. They must incorporate the good deed in their reporting by the provision of hope to the community.

• In the wake of disaster, reporters should not highlight the public outcry and then depict the failure of the government in coping with such a large magnitude of disaster that was far off its capability and, afterwards, entitled it as corrupt and unreliable of handling the national and international aid.

• Women reporters who are now engaged in reporting should highlight the issues related to the women protection and health.

• Reporters should provide the information to the public for precautionary measures, e.g. evacuation, areas they should not go to, water purification techniques for safe drinking water etc.

• Reporters should highlight the action being taken by government to save the lives of people in affected area.

• It is seen that reporters don't prefer to go and cover the impact of disaster in far flung remote rural areas due to which the needs of affected people in rural areas remain unaddressed. Reporters should be trained and encourage to go and cover the devastation caused by natural disaster in rural areas.

• In the wake of any disaster when it is of high magnitude, means of information may also be affected. To overcome this problem a disaster communication radio station could be established to disseminate the information about the distribution of donation and reporting of missing people.

• In the post disaster phase, media can highlight the difficulties of the people affected by the event.

• Media should also expand its role as a watchdog in monitoring and handling of donations in the post disaster phase and transparency and accountability in the use of funds for rehabilitation and reconstruction.

• The media should also remind the government about the implementation of recovery programs to avoid the wastages of funds in other irrelevant projects.

• Media should mobilize the assistance by assessing the needs of people and communicate those needs to the national and international donors in post disaster phase.

•   Media should inform the public as well as other stakeholders about the government work on reconstruction plans to ensure the stakeholders that the needs of affected people are truly addressed.

•   While reporting on reconstruction phase, media should highlight the need for the integration of risk reduction measures in reconstruction projects to ensure that the infrastructure is safer from future disaster

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POTENTIALITY OF RELIGIOUS CONFLICT IN KAZAKHSTAN

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Abstract

The article deals with the problem of religious conflict, the sources of its occurrence. Authors on the basis of an analysis of the religious situation, the structure of inter - confessional relations give an estimate of the level of conflicts of Kazakh society. Showed some theoretical estimates of the causes of religious conflict. At the same time, statistical data and materials, case studies of recent years, a historical survey on interfaith relations. Identified factors such as potential conflicts of poly - confessional, and the spread of non-traditional religions, low standard of living and unemployment, the merging of criminal organizations with a radical religious fundamentalism, the struggle of various political forces for influence. Particular attention is paid to avoid and prevent religious conflict.

Keywords: Religious conflict, Islam religion, confession, prevention, governing.

Introduction

The experience of many countries, religious conflicts today are the most dangerous and intractable. "Intercultural and religious clash cuts out innercultural clash of political views made by West…". [1]

Kazakhstan, as well as the entire international community is faced with the threat and the hidden risks of sectarian conflict. The problem lies in the fact that conflicts are becoming more widespread and violent and often result in overt political clashes. Unfortunately, the most common form of religious conflict are extremism and terrorism. Also feature clashes on religious grounds is that the violence and intransigence in many cases are the only ways to achieve their interests.

Religious conflicts in history have always existed. Almost all religions have gone through periods of active confrontation and peaceful development. In the process of formation of the Kazakh society of religious consciousness is taking place at the State sovereignty, religious and ethnic revival, the transition from a totalitarian to a democratic way of life. This leads to the complexity and inconsistency of the revival of religious feelings. "As a result people rush to the new sacred values, the chase for the new sense of religion. This diversity gives rise to the double-influence on the society. It encourages the forming of a deeper and more profound system of values, but at the same time it causes the fission, which rates the possibility of the conflict and necessity of tolerance". [2]

It is also important that Kazakhstan is traditionally a Muslim state. Because of this, we have the processes of active informal cooperation between the political authorities and the representatives of the Muslim clergy. This fact is seen by many as the support of Islamic rule and suppressing the rights of others. And these fears are not unfounded. Common to all the countries of Central Asia, in the words of Sultangalieva, was the desire of governments to

control religious life through legislation, for example, the adoption of laws on the activities of religious associations. The state also controls the recruitment of Islamic clergy, the division of Islam into "good" and the traditional "bad non-traditional", including through official or semi-official designation of "moderate" Islam, for example, hanafizma (Tajikistan, Kazakhstan), which lead to the opposite result - the politicization Islam. [3]

Main Text

Analysis of the religious conflict is a multifaceted study. Due to the fact that "traditional religious differences, as well as ethnic differences are universal to humanity in every historical period of time" analysis of the potential for conflict of religion is of great importance for the future of civilization. [4] Understanding of religion as the main source of legitimacy in the Islamic countries is found in the works of F. Zakaria. It interprets the main religious conflict modernity as the conflict between Islam and the values of liberal democracy. [5] The American political scientist Kugler examines the relationship of religion and national security. Contemporary religious landscape he describes as unstable. Accordingly, the threat emanating from it, are primarily aimed at undermining national security. These processes we already have seen in some Islamic states. [6]

Considering the problem of religious conflict in Kazakhstan society should focus on the objective of the religious situation, which was formed in Kazakh society. The paradigm of the religious situation in Kazakhstan is characterized by a process of religious revival, when a person becomes aware of his religious affiliation. Dynamics of initiation to religion in Kazakhstan society distinguished by the size and swiftness, which was characterized by the growing number of believers, religious organizations, which was associated with the abolition of the monopoly of atheism of the Soviet period and the ability of everyone to freely determine their attitude to religion.

In the religious revival we are seeing a certain spontaneity and neutral character of the state policy, which contributed to the wide dissemination of both traditional and non-traditional religious beliefs, to the expansion and revitalization of missionary work. However, in recent years, with the growing threats from religious conflict and open acts of terrorism on the territory of Kazakhstan was coordinated government policy to reduce the number of religious associations. The analysis of statistical data shows that the religious situation in Kazakhstan's multi-faith society is different, the operation of non-traditional religions, which can be a one of the sources of religious conflict If in 2011 the religious space of Kazakhstan, there were 46 denominations and religious groups 4551, then in 2012 left 3088 religious organizations and their affiliates, representing 17 denominations, that is, their number decreased by 32%. From the presented today the most common denominations are: Islam - 2229 Orthodoxy - 280, Pentecostal Church - 189, Evangelical Christians - Baptists - 100, Catholicism – 79, Jehovah's Witnesses - 59, Presbyterian Church - 55 and others. [7] Kazakhstan is also a leader in the number of mosques in Central Asia. In 3244 the republic there are places of worship, 2320 of which are mosques. [8]

If we consider the problem of inter-confessional relations in Kazakhstan in the context of sociological research in recent years, they are characterized as calm and happy . However, there is a certain part of the population, which in the opinion polls is difficult or can not be defined in their religious status, which creates a risk of them influence or participation in religious conflicts. So, the question of whether there are problems with the religious situation only half of respondents – 50,4% answered "no problem", 39,8% were undecided. Thus, we can determine that more than one - third of the population is at risk of influence of various pseudo - religious lines, with the main threat comes from non-traditional religious groups. [9] In general, the Kazakh society there are hidden dangers of a sectarian conflict that may arise as a result of factors such as poly - confessional society, the struggle of identities, social and

economic instability, splicing of criminal organizations with a radical religious fundamentalism, the struggle of various political forces for influence.
The revival of the religious consciousness in Kazakhstan has its own specifics. Multi - faith and multi - ethnicity structure of society is one of the features of development of Kazakhstan. Religious and ethnic diversity was formed as a result of a long historical time and was caused by many factors.

First of all, it is the geopolitical situation of the country, the passage of the Great Silk Road connecting the two sub-continent - Western Europe and East Asia. Active dialogue of cultures contributed to the penetration of many religions (Islam, Christianity, Buddhism, Zoroastrianism, Manichaeism, Confucianism), activation of a religious missionary to the spiritual, and then the political expansion of Kazakhstan.

The next factor - the military, migration, cultural policy of the Russian Empire in the XVIII-XIX centuries. The colonial policy of Russia was aimed at the forcible Islamization of the Kazakh population as a factor in the enslavement of non-Orthodox peoples of the border regions. The Soviet state is largely continued the policies of the Russian Empire. The deportation of people to the territory of Kazakhstan was the cause of conflicts between members of different religions and ethnic groups.

Today in Kazakhstan society is inhabited by more than 120 nationalities. Kazakhs make up 60% of the population, the largest ethnic group - Russian (25%), Ukrainians (2,9%), Uzbeks (2,8%), Germans (1,5%), Tatars (1,5%), the Uighurs (1,5%). Ethnic diversity in itself is not the cause of the armed conflict, but the ethnic identity often defines the parties to the conflict. [10] Parameter threats involve the public in the religious conflicts in the confessional varies according to sociological studies of 12 to 26%. [11]

In Kazakhstan, who survived the Soviet period and forced secularization deetnizatsiyu, observed mixing processes of religious and national revival. Only in the past century in Kazakhstan took place the process of a total ban on public religious expression before the rise of religious practices. Thus, the historical development, the accelerated pace of democratization and modernization of Kazakhstan, its involvement in the global world processes have led to the increased threat of religious conflict in Kazakhstan.

We highlight the following. First of all, it is an active process of familiarizing the population to religion, especially the younger generation. There is an increasing number of Muslims. If at the beginning of the 90s consciously identified with Islam itself is not more than 30%, according to Census 2009 officially define their faith as Islam is about 70%. In this matter also a lot of difficulties. First, many people religion, especially Islam is understood superficially. The illusion that the careful implementation of quite complex rituals is the essence of Islam.Dressed in Muslim norms young people sometimes far from its moral truths. Superficial understanding of religion creates the risk that the texts of the Qur'an are interpreted loosely. It is used with radical believers for recruitment to extremist organizations. There is the phenomenon of "new Muslims", for which the Islamic faith is not connected to the national culture. Calling themselves the followers of "pure" Islam, or the Salafis, they isolate themselves from the majority of "traditional" Muslims demonstrating their "Islamic" behavior and dress. [3]

Second, there is a shift of traditional religion and ethnicity. Today, about 50.000 Slavs converted to Islam in Kazakhstan. Take place, and feedback processes. Young Kazakhs convert to Christianity, and in particular its non-traditional sects. These processes provoke conflict along two lines: ethnicity and religion .The next factor we highlight the crisis of traditional religions and the growing number of non - traditional ways. The peculiarity of Islam due to the fact that the religion of everyday life, giving not only the world , but clear rules for each day of any Muslim in any country. Paying great attention to ritual, missed the essence of religion - the development of the spiritual world. For many, going to the mosque,

perform namaz five times and other times becomes a form of removal of personal responsibility. The crisis of clergy implicitly promotes that people are looking for something new, and are usually in non-traditional faiths.

These and many other reasons contribute to the growth of various new and innovative directions in Islam. Already in the early 1990s from various parts of the southern regions of Kazakhstan began to appear information about the activity of small numbers of Wahhabi groups. This is due primarily to an external factor - the illegal missionary activities, many of which are foreign to the postulates for the mentality and culture of ethnic Kazakhs. Exports of non-traditional Islamic movements set to split among the local Muslim population. There are new for Central Asia, transnational movements - Ahmadiyya community, "Hizbut Tahrir al Islami", "TabligiDzhamaat", "al - Takfirva al- Hijra". Strict discipline, well - established organization, unquestioning obedience junior senior leaders and ordinary members, solidarity and mutual assistance, bright prohalifatskaya direction make "HizbutTahrir" and others real and very dangerous for all of Central Asia. The popularity of movements was determined by ideas of social revolution that attracted into its ranks the poor.

At the same time begins search for local Islamic roots, such as Sufism. Gaining Sufi groups, "Ismatullo – Maksum", "Hazrat Ibrahim", "Suleymenshi" and other Sufi groups have, as a rule, a recognized leader, to proclaim the need of Zikr, a belief in the special mission of Sufism, spirituality associated with the filling of a modern society. Sufi group "Ismatullo – Maksum" became widespread in the mid 90s. The venue was the home town of Karasu Almaty region. Following the suspension of its operations, in 2000, she returned to work in the district "Mamyr" Almaty. Religious ideas of Sufi organizations were and are wide response and support, both in rural and urban areas, both among intellectuals and bureaucrats.

It is these organizations in their activities spread the ideas of extremism and terrorism, are betting on the social and ideological instability of Kazakh society, and a low level of religious education among the population, and Muslim clergy. According to the Agency for Religious Affairs, only 30% of imams in Kazakhstan, who are graduates of religious education. [12]

Additional impetus for the deployment of terrorist activity provides specific interpretation of the postulate of jihad. In Islam, originally postulated the possibility of peaceful coexistence with other religions, especially Christianity and Judaism. Today is largely a problem of jihad is also deployed not as a conflict between Islam and Christianity, as well as the fight against the Westernization of forced modernization. This understanding of the nature of jihad is to unite Muslims in different countries, contributes to the emergence of international terrorist organizations. In this important role played by global networks. Today, the greatest danger is mediadzhihad. For example, Hezbollah has even released a computer game for teenagers, which is a central Internet - Department developed two years. [13] The socio-psychological impact of the Internet on the possibility of ordinary citizens, especially the younger generation, just menacing. Mediadzhihad today regarded as equal in importance to the war in arms, and can be up to 90% of the overall efforts of the extremists. [14]

It is no accident, according to E. Gelnnera, it is Islam can become a global political system, to offer an alternative globalization. [15] Today, the government in the face of rising risk of religious conflict is committed by law to limit the impact of destructive religious movements, to make clear the activities of all faiths. In spring 2005, the Supreme Court recognized terrorist organization "Hizbut Tahrir al Islami", "The Brothers – Moslems", "Taliban", "Gourde Boz", "Jamaat Mujahideen Central Asia", " Lashkar - e – Taiba", "Social Reform Society", "Asbat al- Ansar", the activity of the territory of Kazakhstan is prohibited. The new Law of the Republic of Kazakhstan "On Religious Activity and Religious Associations" in 2011 highlights the historical role of the traditional Hanafi Islam and Orthodox Christianity in the country. Respect for the rule of law

creates the "rules of the game" for an equal exchange of ideas and the political will to make decisions and law enforcement. [16]

Thus, the radicalization of Islam and terrorist sentiment - a new form of destructive relationship between religion and politics.

Among the sources for the religious conflict in the form of extremism and terrorism are the socio - economic factors - namely, the violation of social justice, the low standard of much of the population, unemployment, and crime and the activities of the various political forces. So according to the Agency of the Republic of Kazakhstan on Statistics, the total number of unemployed people aged 15 years and older, young people aged 15-28 years accounted for 29,4 percent, or 139,000 people. In other words, it's one in three unemployed in our country. [17]

In this regard, one can not underestimate the threat of religious extremism and terrorism to Kazakhstan. To date, it manifested itself in the wake of the attacks of 2011-2012 in Taraz, Aktobe, the Ile-Alatau National Park, etc. The total number of attacks - 14 have died - 70. [18]

There were also processes the geographic expansion of the activities of radical groups in Kazakhstan in the local direction of the southern region to the west and north of the country, thus creating a certain radicalism closed zone around towns and large cities, global geopolitical international network with countries such as Afghanistan, Syria, Caucasus, Turkey, Saudi Arabia, Kyrgyzstan, Russia. Social Portrait of extremism and terrorism is as follows: 60% of convicted terrorists - is a person under the age of 29 years, the younger generation, 95% of them - the unemployed that is marginalized sectors of the population, not gained their social status in the society. [19] The intolerance towards the "other" and violence often find supporters among youth and minorities, which makes these groups are attractive targets for the parties to the conflict. [20]

In order to prepare young people the ability to think critically and to feel a full member of society, it is necessary to teach her certain personal and social skills to resolve conflicts. It's about self - esteem ability to tolerate frustration and uncertainty, self-analysis, understanding and ability to empathize with others, the ability to communicate and interact with others, knowledge of the cultural attitudes of behavior in conflict situations and the knowledge of his own attitude to such behavior, the ability to analyze and evaluate the conflict, practical skills and conflict resolution. [20]

Conclusion

In general, it should be noticed that in spite of the compromise and faith tolerance between the government and affiliations which is based on the principles of equality, modest conservatism and liberalism, the potential of religious threat and conflict in Kazakhstan still exists, though in a hidden form. Today the potential of religious conflict in Kazakhstani society emerges through: the activity of nontraditional religious sects including Islamic ones; the usage of Islam itself as a means of ideological weapon; the ideas of terrorism and extremism especially among young people. Social and economical problems are causes of religious conflicts as well. They appear in such factors as social equity breach, unemployment, low index of the living standards, crime rate and misconduct of some political forces.

We believe that the transformation of religious conflict is one of the real solutions to these problems. In this connection, attention should be paid to the early warning system and regulation of religious conflict, and search for ways to transform it. It seems fruitful to use the following methods to prevent religious conflict:

1. Creating a transparent and objective database on the religious situation in the society.

2. State to use new forms of cooperation with all religious denominations: the conclusion of contracts, regular subsidies, the introduction of religion in the educational process, the system of taxation.

3. Development of social service volunteers to work with vulnerable people, especially the youth and the unemployed . No society and the state should not prevent the marginalization of society.

4. Organization of regular dialogue between all religions to establish trust between them and the direction of their efforts on the positive development of the Kazakhstan society.

5. Legal, financial and psychological support for the institution of the family, in which form the basic moral values. Reducing the role of tradition, leveling the traditional status of the family leads to the marginalization of young people, open to a variety of, including destructive religious movements.

6. Establishment of the Agency for the dissemination of a culture of peace, religious literacy, a positive image of religion in society through the media.

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DOHA ROUND OF WTO AND AFRICAN DEVELOPMENT: AN APPRAISAL

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Abstract

World Trade Organization (WTO) emerged in 1994 to create global environment for free and unhindered trade. The believe was anchored on the fact that global cooperation will foster world peace through trade liberalization and reduction of the powers of domestic special interests through broad rules that cuts across national frontiers. These were hinged on the idea that greater cooperation through trade liberalization will promote common good on a global scale. In as much as this global trading system has benefited industrial societies who constitute the inner caucus of WTO, the same cannot be said of developing countries especially the states of Africa. One area that has been glaring is liberalization of agriculture which analyst agrees would give developing countries competitive advantage and offer those countries at the margin, greater share of world trade with significant impact on the development agenda of those countries. Good as this sound, it has been most difficult to achieve liberalization of trade in agriculture and the reason rests on the huge subsidies industrialised countries spends to augment their farmers which creates an imperfect market that is detrimental to developing countries. The paper examined the ways in which WTO has handled its fundamental objectives as it relates to the issues surrounding the Doha Round of talks which was dedicated to achieve liberalization of agriculture. The paper concluded that developing countries especially those in Africa have continued to loose out as a result of the inconsiderate stance of developed countries to maintain the global imperfect market structure, thus stalling an avenue that would have jump started Africa development.

Keywords: WTO, Doha Round, Africa, Liberalization of Agriculture, Subsidy, Economic development

Introduction

World Trade Organization (WTO) emerged in 1994 to create global environment for free and unhindered trade. The belief was anchored on the fact that cooperation on global scale has a high capacity to foster world peace through trade liberalization and reduction of the powers of domestic special interests through broad rules that cuts across national frontiers (Mitrany 1966). These were hinged on the idea that greater cooperation through trade liberalization will promote common good on a global scale. In as much as this global trading system has benefited industrial societies who constitute the inner caucus of WTO, the same cannot be said of developing countries especially the states of Africa (Wilson et al 2005). One area that that seem to be difficult in terms of negotiations of achieving is liberalization of agriculture which analyst agrees would give developing countries competitive advantage and offer those countries at the margin, greater share of world trade with significant impact on the

development agenda of those countries (van der Mensbrugghe, 2006). Good as this sound, it has been most difficult to achieve liberalization of trade in agriculture and the reason rests on the huge subsidies industrialised countries spends to augment their farmers which creates an imperfect market that is detrimental to developing countries(Jenson and Gibbon 2007). The paper examined the ways in which WTO has handled its fundamental objectives as it relates to the issues surrounding the Doha Round of talks which was dedicated to achieve liberalization of agriculture. What are the place of Africa in the WTO Doha negotiations and what outcomes has these produced and what is the relationship of this to the stance of powerful economic super powers in the negotiation process. The paper employs a descriptive method to analyse documentary materials so as to explain the politics behind the deadlock that have marred Doha Round of WTO negotiations.

The Brief overview of African Economies

Before its contact with Europeans, African societies were pre-capitalist economies at different stages of development (Rodney, 1972). These African economies were self-sufficing in the sense that the productive forces were able to meet the needs of society prior to its integration into the European capitalist system (Diop, 1975).

Technological revolution which was vital for the European industrial take off, were already evident in some African societies. For instance, Benin culture were notable for bronze smelting, the technological attainment in terms of architecture in the Zambezi-Limpopo region were said to surpass that of Portugal, one of the colonizing powers at the time they ventured into Africa (Rodney, 1972). Some centre of commerce like the Songhai Empire, Dahomey and trans-Sahara trade were already booming, meaning that these economies have already attained certain levels of sophistication.

However, colonialism distorted the progressive development of African societies. This distortion was caused chiefly by European capitalist penetration into Africa (Rodney, 1972). This was achieved through imperialism represented by colonial conquest of African societies. Imperialism became necessary as a stage of capitalist development because the state was persuaded to aid owners of capital secure new markets and sources of cheap raw materials by the establishment of protectorate, colonies and spheres of influence (Ake, 2000). Notable scholars such as Hobson (1905) and Lenin (1939) sees imperialism as an inevitable and integral aspect of industrial progress associated with capitalism.

According to Hobsbawn (1968), Britain's colonial trade which was 15 percent by 1700, have risen to 33 percent by 1775, as such providing limitless horizon of sales and profit for merchants and manufacturers with its attendant wealth. The effect of imperialism was the domination of African societies by industrialized western economies and the dependence of the former on the later. This domination and dependence is not necessarily the effect of the spread of capitalism, but resulted from the mode of articulation of colonialism (Rodney, 1972). Therefore, the condition of African economies today is traceable to the colonial period given the global structure of capitalism it left behind in which African countries were made to be suppliers of primary products, whereas the countries of the north were centres of manufacture. The outcome is the cycle of poverty that pervades the continent. Even though debates have raged over many decades ago on how to redress this state of affairs, the position of African countries within global economic management institutions including the World Trade Organization is marginal. However sustained pressure by scholars and statesmen from developing countries yielded an opportunity to redress Third World marginal position in the global economic system through the Doha Round of WTO negotiation that was christened 'Development Round' (Wang and Winters, 1998).

The African Predicament

The global capitalist system in which Africa was integrated through colonialism, marginalized Africa and also impoverished them and created condition that led Africans into demanding for change especially political change which manifested in the independent struggles of the 20th century. However, flag independence which was the outcome of these struggles could not bring about the desired end of improving the life condition of the Africans (Ake 2000).

By late 1970's and early 1980's the recession that hit the world capitalist system, devastated African economies (Ihonvbere, 2000). This brought about a regime of massive economic downturn for African countries due to the fall in commodity prices in the international market, thus plunging these African nations into indebtedness and the consequent debt crisis owning to the long duration of the recession (Adedeji, 1993).

The Structural Adjustment Programme (SAP) imposed by International financial institutions, the International Monetary Fund/World Bank as panacea to the economic crisis, consolidated the integration into global capitalism. Today African countries are still in search of solution to underdevelopment and economic crisis that bedevil the continent. The enthusiasm that heralded independent and self rule and raised a lot of expectation has waned. Even though the realization to drastically structure the post colonial African state to meet those expectations, because not doing anything would make disaster inevitable led to forms of reforms, indicators points to a development experience that is disappointing (Adedeji 1993). For instance, around the early 1970s economic growth rates of African nations have started to decline (UNECA, 2004). That decline was due to the reduction in demand for export from Africa. The fall in export demand was compounded by rise in prices of goods imported into the continent (Ihonvbere, 2000). By the 1980s new sets of problems further worsened the already precarious situation. Africa's export earning fell disastrously as prices of its staple products such as coffee, cocoa etcetera, weakened and remain weak for decades and again the rise in World oil price made things worse for the continent (Ihonvbere, 2000).

To finance the short fall in export income and other resources, African countries resorted to borrowing. A greater proportion of what they borrowed was on commercial terms (Adedeji, 1993). The overall effect was a debt burden of which these countries are palpably unable to bear. As a result of this scenario, external capital inflow, which used to cover foreign exchange shortages shrunk to negligible proportion (Ihonvbere, 2000).

The consequence was that import-strangulation beset the continent as machineries broke down for want of spare parts. Development programmes were threatened and even halted. Social services including health and educational facilities went into disrepair and left to ruin. The culmination of these entire events was spirit of despair that pervaded the continent (Ihonvbere, 2000).

This was the background that led to the introduction of Structural Adjustment Programme (SAP) in Africa. Beside this, multiple crisis hit Africa in the 1980s, drought that beset the continent, brought about the worst famine.

Fall in prices of Africa's commodities led to scarcity of foreign exchange as black market for foreign exchange became widespread. Many countries could not import enough goods nor produce it domestically. Domestic prices of goods rose and queue appeared everywhere and currencies in Africa became valueless. Low credit worthiness pushed African countries to seek financial assistance from the International Monetary Fund (IMF) and World Bank. This gave IMF-World Bank leverage as the primary lenders to African countries, to dish out conditionality on their own terms. The objective of IMF-World Bank imposition of conditionality was to discipline and re-orient instead of help Africa.

The policy package of Breton Woods's institutions was attached to these loans as condition. This is a system where prices are determined the invisible forces of demand and

supply and also where profitable enterprises provided engine for economic growth. Looking at Africa, the Breton Woods institutions observed sharp practices at odds with this free market model as many of the large industries were state owned. These state owned enterprises operated inefficiently and at loss. A good deal of agricultural products were bought and sold by the government using Commodity Boards. The Government kept domestic food prices artificially low through a policy of subsidy that is unsustainable.

African industries were less competitive by the policy of high import duties in the view of the Bank and Fund more so the institutions felt the civil service were over bloated which contributed to national budgets running in the red. Therefore, for African countries to access loan from IMF-World Bank, they must accept some conditionality and implement SAP.

The implementation of SAP for a good number of African countries worsened the economic condition of the continent and failed woefully to provide panacea to the challenges confronting Africa. Moreso the failure of dwindling aid and foreign assistance to ameliorate the African predicament raised concerns that the approach has to change to turn the tide of gloom in the continent (Ihonbere, 2000).

The opportunity to turn things around and play actively in the decision and pace setting of global economic direction was provided by the Uruguay Round of the General Agreement on Trade and Tariff (GATT) that sought the expansion of the elite club of global economic player nations. The World Trade Organisation (WTO) was presented as the best path through which openness can be made to work for Africa. A region hampered by the fundamental problem of macroeconomic instability, poor infrastructure and low and skewed foreign investment.

Africa in the WTO Doha Round

Though some scholars reasoned that the WTO is not the only or necessarily the best, path through which openness can be made to work for Africa because many of the major impediments to African trade, such as macroeconomic instability, poor infrastructure and low and skewed foreign investment, which are outside the scope of the WTO (Jensen and Gibbon 2007). Beside this, other argument see the probable outcomes of the Doha Round as likely to hurt rather than help Africa's global economic integration. This argument was stressed by the fact that preference erosion, for instance, would be a real threat to Africa. That is to say that a lowering of Most Favoured Nation (MFN) rates which is vital within the WTO framework, will increase the competition that Africa faces, especially in the EU market, and might lead to competitive middle-income exporters such as Brazil replacing African ones (Jensen and Gibbon 2007).

This point of view notwithstanding, it is still a fact that the main reason for the Doha Development Round exercise was to mollify a strong belief on the part of developing countries, including African ones, that they were short-changed during the Uruguay Round (Wang and Winters 1998). Thus, the explicit goal of the Doha Round was to pay special attention to correcting past mistakes and target reform of the multilateral trading system on developmental problems (van der Mensbrugghe, 2006).

The intransigence of global economic super powers reflects in the issues that the Doha Round has so far been settled upon most of which has only a limited relevance in an African development context (Jensen and Gibbon 2007). For instance issues such as agricultural and industrial protection, trade in services and obstruction of trade by red tape at the border are all important in principle for African countries, but they are considerably more important for other groups of countries were the issues in which the Doha Round had successfully dealt with. It can thus be argue of course that the main proposals made in relation to these issues are

not likely to create new opportunities on the continent, but might end up in some cases creating challenges.

The pressing issues for Africa such as problems of depressed commodity prices and commodity dependence are of equal relevance for Africa, were hardly on the agenda of discussion during the Doha Round negotiations before it was suspended.

These developments made Africans to be sceptic towards the Doha Round in that after September 2003 when it was agreed to amend the Agreement on Trade-Related Intellectual Property Rights (TRIPs), most African countries have seen Special and Differential Treatment (SDT) including Aid for Trade as their sole positive interest in the agenda. This fact, should correct the impression that African scepticism towards the Round simply as reflecting nostalgia for protectionist import-substitution policies, policies which have long since proved inferior in development terms to open trade regimes. However, this scepticism should be seen as reflecting the reality that the Doha Round agenda and the objectives of the main negotiating parties in relation to it do not address Africa's trade problems.

Implication of WTO and Doha Round

It is incomplete to discuss African predicament within the structure of global economy without talking about the experience of the continent within the framework of WTO (Rodrik, 1997). WTO emerged in 1994 following the conclusion of Uruguay Round of General Agreement on Tariff and Trade (GATT) in Marrakech Morocco. The creation of WTO which expanded membership and competence of the GATT system was to mitigate problems faced by trading nations (Achterbosch et al, 2004). Third world nations who felt marginalised by the GATT framework believed that membership will grant voice and benefits of world trade. Apart from membership, the reform of the GATT also saw expansion from trade in goods to trade in services, agriculture, trade related investments and intellectual property (TRIPS). The aim of WTO was to create global environment for free and unhindered trade so as to foster world peace through trade liberalization (UNECA, 2004).

The organizations also fight domestic special interests through broad rules such as generalised non-discrimination principle. Members were required to grant one another Most Favoured Nation (MFN) status which implied that previous preferential treatment be either extended or discarded. To be specific, WTO was created to perform the following functions:

The administration of international trade liberalization agreements;

Provision of forum for trade negotiations;

Handling trade disputes Monitoring international trade policies;

Rendering of technical assistance and training for developing countries;

Cooperating with other international institutions to promote free trade.

These were hinged on the idea that greater cooperation through trade liberalization promotes better common good. As such WTO was designed as an instrument to counter domestic pressure against liberalization and to persuade governments of the benefits of free trade. Traditional trade theories propose the notion of gains to be made resulting from complimentarity between two or more countries. These complimentarity were originally thought to stem from different technological capabilities and also from different factor endowment in countries (Cline, 2004).

In as much as these systems have benefited industrial societies who constitute the inner caucus of WTO, the same cannot be said of Third world countries especially African states. One area that has been glaring is liberalization of agriculture which would have given Third World countries competitive advantage and confer them greater share of world trade (Valdes and McCalla, 1999). The reason for failure of Doha Round of WTO negotiations to liberalize agriculture is solely because developed industrial countries are not ready to do away with the huge sum of money spent on subsidies to their farmers (Valdes and McCalla, 1999).

These subsidies create an imperfect market detrimental to third world societies. The realisation that this paradox need to be corrected, WTO dedicated the Doha Round of talk as Development Round so as to trash these issues (Wang and Winters, 1998).

These were started in November 2001 Fourth Ministerial Conference in Doha, Qatar, to negotiate on a range of subjects that are of concern to trading nations. The negotiations include those on agriculture and service particularly the removal of subsidies which farmers in developed economies enjoy. The 'Doha Development Round' label came about shortly after the WTO Ministerial meeting in Doha in November 2001. The main reason for the inauguration 'Development Round' was to mollify developing countries, including African ones, who feel strongly that they were short-changed during the Uruguay Round (Hoekman and Anderson, 2000).

Thus, the explicit goal of the Doha Round was to pay special attention to correcting past mistakes and target reform of the multilateral trading system on developmental problems. To pacify developed countries, issues related to liberalized investment and trade in manufacture was included. Though some of these issues have been tackled, efforts at brokering agreement on the original mandate are dragging without concrete agreement in spite of negotiations at Cancun in 2003, Geneva in 2004, and Hong Kong in 2005(Anderson and Martin, 2005).

For instance the fifth Ministerial Conference in Cancun Mexico, in September 2003, was intended as a stock-taking meeting where members would agree on how to complete these negotiations. But the meeting was soured and deadlocked on agricultural issues, on what is referred to as "Singapore issues". The Sixth Ministerial Conference in Hong Kong, December 2005, could not make appreciable progress on the issue.

However, the final declaration of that meeting included agreement on a range of questions, which further narrowed down members' differences and edged the talks closer to consensus (Wilson et al, 2005). A new timetable was agreed for 2006 and members resolved to finish the negotiations by the end of the year. That resolution to arrive at an agreement met a brick wall at the meeting of the General Council on 27-28 July 2006. At this point a recommendation by then Director-General Pascal Lamy to suspend the Doha negotiations was generally supported by the developed countries. Since then, Doha Round of WTO negotiation has been deadlocked, therefore impeding the development aspiration of African countries.

Conclusion

The latest World Trade Organization (WTO) negotiation round, launched in November 2001 in Doha, was seen as a positive response to the terrorist attacks on the USA. The negotiations, known as the 'Development Round', had the ultimate objectives of reducing poverty and promoting development.

Thirteen years later, the outlook is bleak. The Doha talks were suspended in July 2008, with trade negotiators increasingly lacking support from their governments. Future elections and rising food and energy prices have exacerbated protectionist tendencies and shifted the focus from international development to self-interest. There are serious concerns as to whether talks can be revived. Developed nations have argued that the success of Doha would only benefit big developing countries such as Brazil, China or India, while African countries and, in particular, smallholder farmers, would lose. This argument assumes that African countries lack the capacity to benefit from broad tariff cuts on the export side and would become more vulnerable on the import side if tariffs were reduced still further. This can only be tested if the developed countries can muster courage to liberalise the agricultural sector.

The structure of global capitalism which puts African as producers of primary product consigns most of the countries in the continent at the margins of global economy. The GATT which for most of the post war era controlled global trade was more a club of developed

economies that left Third World countries mostly African without a voice, this situation has remained largely the same notwithstanding the expansion of the GATT to embrace more membership and competence including African and other developing countries. However the enthusiasms of African countries that a leg in would result in the creation of fair and perfect market in the area of comparative advantage which could leap frog their development aspiration has hit brick wall nearly two decades since the formation of WTO.

This view is glaring when we juxtapose the outcome of Doha Development Round of WTO negotiation which for many years stagnated due to the double standard of powerful developed countries that has refused to allow the principle of liberalization upon which their economies were purportedly constructed to be extended to trade in agriculture.

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ARAB DEVELOPMENT AID AND THE NEW DYNAMICS OF MULTILATERALISM: TOWARDS BETTER GOVERNANCE?

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Abstract

This study attempts to explore the evolution of the Arab Development Aid and contextualizes the Arab model of development aid vis-à-vis the DAC Model and the Southern Model shedding light on its transforming characteristics. The Kingdom of Saudi Arabia (KSA), Kuwait and the United Arab Emirates (UAE) have been among the most active donors in the world, with official development assistance (ODA) averaging 1.5 percent of their combined gross national income (GNI) during the period 1973-2008, more than twice the United Nations target of 0.7 percent and five times the average of the OECD-DAC countries.[461]

This paper approaches this model of development aid by focusing on: the changing nature of multilateral development framework and the rising role of emerging economies in the aid system; the basic tenets of the Arab aid development model and its current composition and characteristics; the challenges and future prospects for the Arab development aid and its potential role in engendering better governance mechanisms in the Arab region and globally with a case study on the case of the Qatar Development Fund.

Keywords: Arab Development Aid; Multilateralism; OECD; Emerging Economies; Governance

Introduction

Since the 1970s, Arab states have asserted themselves as prolific and generous donors of foreign aid. Led by the Kingdom of Saudi Arabia (KSA), Kuwait and the United Arab Emirates (UAE), Arab donors have been among the most active international donors, with official development assistance (ODA) averaging 13 percent of global ODA during the period 1973-2008 (Walz and Ramachandran, 2011, p. 12). Indeed, Arab donors have some of the most well-established aid programs in the world, and have consistently provided recipients with an alternative to DAC donor financing. While, Arab donors have become central

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[461] ODA is defined by OECD as financial assistance meeting the following four criteria: (i) provided to a developing country or an ODA-eligible multilateral organization; (ii) on concessional terms with a grant element of at least 25 percent; (iii) for a development purpose and (iv) by official agencies. Data on ODA flows are reported to DAC annually by a focal agency within each of the Gulf countries. In 1970, the United Nations called on countries to give a minimum of 0.7% of their GNI as official development assistance in UN General Assembly Resolution 2626 of 24 October 1970. As Adelman and Spantchak (2013, forthcoming) indicated, total ODA flows have been steadily increasing since the 1960s. While there was a decline only in real terms during the 1990s recession, in 2010, ODA picked up again by exceeding $128 billion - hitting historical records.

proponents of South-South Cooperation (SSC), providing almost 75 percent of non-DAC ODA from 1973-2008, clear differences between Arab donor modalities and both Southern and DAC models has characterized Arab aid as a unique branch of the international ODA flora and has raised questions surrounding the location of Arab aid in relation to alternate modalities (Walz and Ramachandran, 2011, p. 12).

Prefaced against the background of a rapidly changing international system, this study attempts to explore the effectiveness of Arab development aid and contextualizes the Arab model of development aid vis-à-vis the DAC Model and the Southern Model. A critical task we attempt to undertake in this study is to position the Arab development aid in relation other existing models of aid and shed light on the changing and transforming peculiarities and characteristics of it.

We approach the Arab model of development aid by taking into account the changing and transforming character of global multilateral development framework. In this paper, we focus exclusively on ODA flows and evaluate the Arab development aid by taking into consideration the changing patterns and dynamics in ODA globally. While we recognize that ODA is no longer the primary form of development financing, as private flows and investment have increasingly outweighed global volumes of ODA, (Adelman and Spantchak, 2013 [forthcoming]), the strategic and political considerations that accompany ODA and the centrality of ODA within the Arab model of development assistance, justifies the use of ODA as the central feature through which to discuss Arab aid. The use of ODA, however, should not be seen as the ultimate aim, as we argue that historicity of ODA is comprised of inefficiencies and ineffectiveness. This study attempts to link ODA and implementation of better governance mechanisms in national contexts. The discussion on Paris Declaration and Accra Agenda will clearly indicate the possible avenues of articulation between ODA and governance, which is often seen as a missing link in the literature. As UNCTAD's latest meeting in Doha (May 2012) presented the motto "more inclusive development", we argue that ODA has more potential and capability in fostering better governance mechanisms.

Section One - Changing Nature of Multilateral Development Framework and the Rise of Emerging Economies

The multilateral space that provides the backdrop for donors to function has recently begun to change as the (re)emergence[462] of new donors and the recent surge in South-South Cooperation has challenged the traditional norms that previously defined the multilateral development framework. Throughout the last decade, non-DAC donors have significantly increased aid spending. In 2008, South-South aid flows were valued at $15.3 billion, an amount composing approximately 9.5 percent of total global development cooperation (UNDP, 2011 p. 147). Other estimates place aid levels from non-DAC donors between 8 and 31 percent of global ODA, with four non-DAC donors (Saudi Arabia, United Arab Emirates, China and Venezuela) reaching the official UN aid target of 0.7 percent of GNI – a benchmark that 18 of 23 DAC donors consistently fail to reach (Walz and Ramachandran, 2011, p. 1). As aid from traditional donors begins to decline in the aftermath of the financial crisis, emerging donors are asserting themselves as alternate providers of development financing, widening their stake in development efforts while presenting an approach to development that clearly breaks from previous global norms.

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[462] According to Kragelund (2008), the so-called 'emerging' donor countries are not necessarily new to the aid environment, with aid programs from several 'emerging' donors dating back to the 1960s. However, a recent serge in aid activity from strengthening Southern economic powers has increased the international presence of Southern aid spending and contributed to the so-called 'rise' of 'emerging' powers.

Ideologically, the multilateral development space is governed by the five principles that compose the current international agenda for aid effectiveness. Formalized in 2005 via the Paris Declaration for Aid Effectiveness, global efforts towards improving the efficiency of foreign aid have become associated with the adoption and inclusion of ownership, alignment, harmonization, managing for results, and mutual accountability within global aid practices (OECD, 2005). As a follow up to earlier High-Level Forums on Harmonization in Rome (2003) and on Development Results in Marrakech (2004), the Paris meeting on aid effectiveness became the sight of the development of the first practical and action-oriented roadmap to improve the quality of foreign aid (OECD, 2005).

In 2008, the international community reaffirmed its commitment to the Paris Declaration in the Accra Agenda for Action (AAA), a new aid effectiveness agreement that aimed to strengthen and deepen the implementation of the Paris targets (OECD, 2012). The AAA suggested that advancement towards the Paris targets could be improved through increasing recipient ownership over coordination and formation of aid policies, fostering partnerships that offer greater participation to all development actors including civil society as well as official development partners, and by ensuring that aid is clearly focused towards the achievement of real and measureable results. In addition, the AAA also emphasized the importance of 'capacity development' as a key feature of efforts towards aid effectiveness, advocating that donors and recipients should work together to improve the ability for recipients to manage their own futures.

Using the foundation established in past aid effectiveness forums, the 2011 High Level Forum on Aid Effectiveness held in Busan broadened the previous effectiveness agenda by shifting the international focus away from 'aid' and towards 'development cooperation'. In essence, the forum in Busan helped to realign the international development sphere to one that acknowledged the changing development landscape and that sought to become more widely applicable to development efforts pursued by non-state development partners, and through South-South and triangular forms of cooperation. In acknowledging that different modalities of development creates different responsibilities from those that govern traditional North-South efforts, the conference in Busan forged a new global development partnership that sought to embrace the new diversity of the developmental space through recognizing and fostering the unique roles that different stakeholders can play to support global development (OECD, 2011). While the meeting in Busan marked a clear shift in the international development architecture, emphasizing broader calls for cooperation towards sustainable development and facilitating the inclusion of non-state development actors within the development paradigm, the foundational principles underlying the new development framework remain rooted in the principles that defined the aid effectiveness agenda according to the Paris Declaration.

The shift towards 'development cooperation' in Busan was partly driven by recent changes to the international development space. In conjunction with the 'reemergence' of non-DAC donors, the proliferation of new development actors – NGOs, private philanthropists, and multilateral agencies – has raised fears of that the multilateral system is suffering from increasing fragmentation (Reisen, 2010). Given that many new development actors do not directly engage with the multilateral system, the rising number of agencies promises to increase the challenges associated with overlapping mandates, complex funding arrangements, and conflicting monitoring programs, creating a multilateral development space that is confused, incoherent, and directly at odds with efforts towards aid effectiveness.

While the number of actors within the multilateral sphere is on the rise, the amount of aid allocated to multilateral institutions appears to be stagnating. Indeed, from 2001 to 2009, core contributions to multilateral institutions declined from 33 percent to 28 percent (OECD-DAC, 2011, p. 5). At the same time, donors have increasingly substituted core contributions

to multilateral agencies for earmarked spending allocated through multilateral institutions in a process termed the 'bilateralization' of multilateral aid (Sagasti, 2005). This trend towards earmarking, where donors channel funds through multilateral institutions for specific regional or sectoral programs, appears to have quickened with the international emphasis on result-based programming, as the need for bilateral donors to justify aid spending through claiming results has perpetuated a system of flag-planting within the multilateral sphere. While the ability for the multilateral system to channel bilateralized aid flows into a coherent and harmonized development agenda remains unclear, the rising amount of earmarked spending, which grew to 12 percent of total ODA in 2009, threatens to deepen fragmentation within the multilateral system by further entrenching bilateral priorities into multilateral development actions (OECD-DAC, 2011, p. 28).

In addition to the proliferation of new development actors, the number of multilateral agencies that define the international development space has also grown. Rising from 15 key multilateral agencies in 1940 to over 260 by 2008, the creation of new multilateral players has partly been aligned with the rise of emerging powers (Reisen, 2010). Indeed, recent debates suggests that the unrepresentativeness of the current multilateral system, which remains dominated by Bretton Woods institutions that afford little decision-making authority to emerging political and economic power, has led such powers to actively avoid the traditional multilateral sphere in search of new multilateral spaces that are free of Western influence and provide a space for South-South development cooperation.

In the absence of meaningful reform within the traditional multilateral system, emerging donors have pursued spaces free of western influence or avoided the multilateral system all together. While China and India have tended to limit multilateral interactions, opting to provide aid bilaterally in efforts to maintain greater policy independence, South Africa and Brazil have been more open to collaboration with multilateral organizations and each other (Walz and Ramachandran, 2011). Indeed, recent estimates suggest that both Brazil and South Africa have allocated almost 75 percent of their aid spending through multilateral agencies (Walz and Ramachandran, 2011, p. 19; Zimmerman and Smith, 2011, p. 727). However, such aid tends to be channeled towards Southern-led regional financial and developmental institutions over traditional western multilaterals, in efforts to enhance Southern ownership over regional development processes and to maintain relative control and decision-making prowess over multilaterally distributed funds (see Burrall, 2007; Griffith Jones et al. 2008; Corrasco et al. 2007). The establishment of Southern-based multilateral arrangements, such as the G77 plus China, the African Economic Community, and IBSA (India-Brazil-South Africa), has not only created a space for developing countries and emerging donors to assert control over development decision-making, but has provided an outlet for developing countries to pursue development that is more transparent, participatory, accountable, and targeted towards the specific needs to developing countries (African Regional Meeting 2010).

Indeed, the rise of emerging donors as providers of development finance has begun to change the rules of the traditional aid game. Guided by the principles of mutual benefit and solidarity between developing countries, emerging donors aid practices tend to reject the use of political and economic conditionalities in favour of a non-interventionist approach to aid programming (Woods, 2008). While some contend that this 'hands-off' approach to aid financing may hinder prior efforts to increase international standards, particularly towards governance and environmental protections, and may encourage poor policies, unsustainable borrowing, and support for 'rouge states' (see Naim, 2007), others have suggested that the alternative approach provided by emerging donors has increased competitive pressure within the aid system and has served to weaken the bargaining power of traditional donors (Woods, 2008). Although the alternatives to traditional aid provided through the rise of new donors

and South-South aid flows present challenges to the prevailing and outdated logic that tends to govern traditional aid practices in both the bilateral and multilateral spheres, there is little evidence to suggest that emerging donors are overtly trying to overturn the present multilateral system.

Indeed, it should be noted that in some cases, Northern donors have attempted to actively engage in South-South cooperative efforts through participating in new forms of development cooperation (Walz and Ramanachandran, 2011). Acknowledging that Southern donors have managed to create economic development domestically, and that the shared developmental experiences between new donors and developing countries renders emerging donors' technical expertise more appropriate for developing country conditions, traditional donors have sought to engage with South-South efforts through providing financing to support new donor programs in a form of triangular cooperation. With some multilaterals, notably UN organizations, joining the trend towards triangular efforts, such new and innovative forms of cooperation may help to strengthen the dialogue between North and South through increasing collaboration between development actors.

Section Two: Basic Tenets and Characteristics of Arab Development Aid

Amidst the changing multilateral system, where new development actors are playing an increasing role in the provision of development assistance, clear trends have formed around the aid modality preferences adopted by non-DAC bilateral donors. According to Zimmermann and Smith (2011), apart from the OECD DAC, these donors can be categorized into three different strands of development cooperation providers. Zimmerman and Smith's first model of aid is provided by 'emerging donors.' This category tends to be composed of new member states of the European Union, Turkey, Israel and Russia, which adopt the institutional, regulatory and legal structures of these countries resemble those of DAC donors.[463] The second mode of aid giving is the 'southern' model, which primarily encompasses the developing countries which provide aid, both in the form of financial aid and expertise to the other developing countries, and are the countries most commonly associated with SSC, notably Brazil, China, India and South Africa.[464] These countries are generally both donors and recipients of ODA and participate in SSC through Southern dominated multilateral organizations such as IBSA, etc. According to Zimmermann and Smith, Arab donors constitute the third model. Countries such as Kuwait, Saudi Arabia and United Arab Emirates have been visible actors in development aid with donor status. Furthermore, Qatar, as an emerging donor is becoming more and more visible in the international aid architecture (Qatar Foreign Aid Report, 2012).

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[463] Those that are EU members are in tandem with EU principles and commitments. They have committed to increase their net ODA volumes to 0.17% of gross national income (GNI) by 2010 and 0.33% by 2015.

[464] SSC providers cannot be categorized as "donors" and others "recipients" as they label themselves as peers in mutually-beneficial relationships with their partner countries. Exchange of technical skills (*e.g.* through technical assistance, training or scholarships) constitutes an integral element of SSC and also providers generally do not attach policy conditions to co-operation. It is often argued that technical co-operation from SSC providers respects the priorities of partner countries (OECD, 2010).
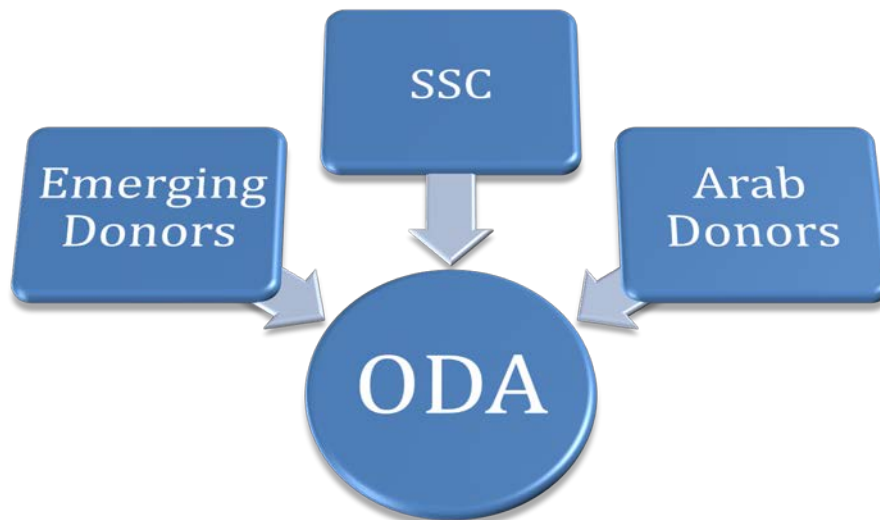
Perhaps, the most obvious characteristic of Arab development aid has been its generosity when compared to other mechanisms of international aid. World Bank's study entitled "Arab Development Assistance: Four Decades of Cooperation" clearly illustrated the generousness of Arab donors. Arab donors — most importantly the Kingdom of Saudi Arabia (KSA), Kuwait and the United Arab Emirates (UAE)—have been among the most generous even in the global standards, with official development assistance (ODA) ranging approximately 1.5 percent of the combined gross national income (GNI). During the period 1973-1990, Arab aid as a share of GDP was more than twice the United Nations target of 0.7 percent and five times the average of the OECD-DAC countries. (Rouis, 2010; Rouis, 2011; Shushan and Marcoux, 2011; AFESD, 2011). While flows of Arab aid as a share of GDP decreased from 1990-2008, Arab donors continued to meet the UN target of 0.7% throughout the 1990s, and were almost twice as generous as OECD-DAC donors from 2000-2008.

While ODA from OECD-DAC donors has begun to stagnate in the aftermath of the 2008 financial crisis, Arab aid was not as harshly affected as initially expected (Rouis, 2011). In relation to the global financial crisis (2008–2009), official development assistance (ODA) from Kuwait, Saudi Arabia, and the UAE significantly increased in both relative and absolute terms (Rouis, 2011). The relative share of KSA, UAE and Kuwait almost doubled during the two-year crisis period, as opposed to the two years preceding the crisis, rising to 3.9 percent from 2.1 percent (Rouis, 2011). Furthermore, as the financial and economic crisis unfolded during the course of 2008-2010, Arab financial institutions increased their attention and activities especially to infrastructure sectors such as transportation, energy, and water (AFESD, 2011). As Rouis (2011) indicated, financial assistance dedicated to supporting infrastructure-related projects grew during 2008–2010. Lately, there have been efforts to devote more resources to agriculture and social sectors.[465]

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[465] Coordination Secretariat of the Arab National and Regional Developmental Institutions informs that, total commitments of the eight Arab financial institutions raised significantly between 2008–2010 period when compared to the pre-crisis period (2005–2007). Total commitments became approximately US$ 7 billion in 2010, as opposed to US$ 4.7 billion in 2007. The majority of the assistance made possible in the period of 2008–2010 came from three institutions: the Islamic Development Bank (36 percent), Arab Fund for Economic and Social Development (21 percent), and Kuwait Fund for Arab Economic Development (13 percent).

Institutions of Arab Aid

The Arab Fund for Economic and Social Development (AFESD) has been established in 1974 and situated in Kuwait City (World Bank, 2010; AFESD, 2011). AFESD is the major multilateral Arab aid organization, and undertakes the mobilization of the Coordination Group, which acts as an umbrella organization for coordinating the Gulf aid to the key multilateral and bilateral aid institutions (Momani and Ennis, 2012). The AFESD solely gives aid to Arab countries with the stated purpose of facilitating economic and social development, as well as advancing regional integration among Arab states (AFESD, 2011; World Bank, 2010). As indicated in Figure 2, Kuwait and Saudi Arabia are the two major countries providing financial and technical resources. It has to be noted that aid provided by the AFESD often takes the form of concessional loans and small technical assistance grants (Shushan and Marcoux, 2011). Second major organization is the Islamic Development Bank (IDB). IDB has been established in 1975, located in Jeddah, Saudi Arabia. It has 56 member states. IDB is established primarily to finance "economic development and social progress" among member countries, as well as to aid Muslim communities. The IDB emphasizes that all of its activities must be conducted in accord with the jurisdiction of the Shari'ah (Islamic law), which strictly ban the practice of interest on financial transactions.[466]

The OPEC Fund for International Development (OFID), based in Vienna, has been to pursuing developmental aid especially in the South–South solidarity (Shushan and Marcoux, 2011; Zimmermann and Smith, 2011). Most of OFID's assistance mostly takes the form of concessional loans for development projects, balance of payment support, and trade financing; it also provides modest grants for technical assistance, food aid, research, and emergency humanitarian relief (World Bank, 2010; AFESD, 2011). While OFID is not an Arab-only organization (6 of its 12 current members are Arab states), contributions from Arab countries account for approximately 65% of OFID's direct operations account. Saudi Arabia is the largest donor (34.7%), and other Arab contributors include Kuwait (12.5%), Libya (6.9%), UAE (5.7%), Qatar (3.1%), and Iraq (1.7%) (Zimmermann and Smith, 2011). Similar to OFID, the Arab Bank for Economic Development in Africa (BADEA) has special focus on channeling aid to non-Arab African states. Other organizations are presented with their magnitude of developmental activities below in Figure 2.[467]

Apart from multilateral agencies, bilateral forms of aid have been established especially via sovereign funds for KSA, Kuwait and UAE. These countries established their own national agencies in order to channel bilateral aid. For instance, Kuwait Fund for Arab Economic Development (KFAED) offers aid to recipients in the form of loans at concessional terms (World Bank, 2010; Zimmermann and Smith, 2011). Similarly, the Abu Dhabi Fund for Development (ADFD) promotes sustainable economic development, alleviation of poverty, and provision of support for regional and international development initiatives (World Bank, 2010). Saudi Fund for Development (SFD) provides loans to governments of developing countries to finance projects. When more systematically analyzed, most ODA from KSA, Kuwait, and UAE over the period 1995–2007 has been channeled through bilateral basis. While bilateral aid accounts for 89 percent of total ODA offered by these donors, for the same time period, multilateral sources constituted approximately 4 percent through Arab financial institutions, 4 percent through the World Bank, 2 percent through UN agencies, and just under

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[466] In 2008, the top 8 shareholders in the IDB funded 81% of the organization's total shares; of these 6 were Arab countries which provided 64.7% of the total. The single largest shareholder in the IDB, by far, was Saudi Arabia (24.4%), followed by these other Arab states: Libya (9.8%), Qatar (8.6%), Egypt (8.5%), UAE (6.9%), and Kuwait (6.5%) (AFESD, 2011; Shushan and Marcoux, 2011).

[467] In the most recent period (2005–09), BADEA has offered concessional loans for periods of 18–30 years, at interest rates ranging from 1% to 4% per year (Arab Bank for Economic Development in Africa, 2010). The organization has 18 Arab members, and the six highest subscribers control over 90% of the shares. They are: Saudi Arabia (24.5%), Libya (16.3%), Kuwait (15%), Iraq (14.3%), UAE (12.2%), and Qatar (8.2%).

1 percent through the African Development Bank (AfDB) (World Bank, 2010; AFESD, 2011). These numbers suggest that the average ratio of multilateral to total ODA among Arab donors (13 percent) over the period 1973–2008 is less than half the DAC average (30 percent).[468] The characteristics and changing modalities of Arab development aid could be summarized as:

Arab ODA has declined in overall volume and as a share of national income, although it remains generous in comparison to aid levels provided by OECD-DAC nations.

Significant shift in the share of grants declining from 70 percent during 1990 – 1999 to only 36 percent in the period 2000–2008 (World Bank, 2010).

Increasing grants for humanitarian assistance and post-conflict reconstruction through the Red Crescent Society and other humanitarian organizations.

Shift in the needs of recipient countries from basic consumption requirements and social services to investment in infrastructure.

Broadening composition of Arab development aid: Since 2000, there is a pattern of shifting away from a dominance of grant-based aid to primarily Arab bilateral ODA reported to OECD-DAC that is in the form of soft loans (World Bank, 2010).[469]

In general, the bullets portrayed above illustrate that there has been significant changes in terms of the historically proven generosity of the Arab donors and the challenging task is to identify As figures 1 and 2 clearly illustrated, Arab development aid through various channels and programs have been quite generous (World Bank, 2010; Shushan and Marcoux, 2011).[470] It is, however, important to note that the changes in the trends of Arab aid take place as well. A critical finding is that since 2000, generosity has declined for two of the bilateral donors— Kuwait and Saudi Arabia (World Bank, 2010). From the literature and available data, one can diagnose three major reasons behind the relatively decreasing levels of Arab development aid. Firstly,, while bilateral Arab aid spending has remained fairly consistent since the 1980s, Arab donors have steadily increased multilateral aid commitments from $1 billion in 1986 to $3 billion by 2006. This rise in multilateral spending in relation to the relative stagnation of bilateral aid flows suggests that Arab donors have begin to replace bilateral programming with multilateral spending. According to Shushan and Marcoux (2011), the increase in multilateral commitments is not sufficient to compensate for the decline in generosity of bilateral aid, causing an overall decline in the generosity of Arab donors. Secondly, as a recent World Bank Report (2011) indicated, there is a possibility of the displacement of the Arab aid in the sense that Arab aid has been displaced by non-Arab aid. Third dimension pertains to increasing government expenditures by Arab donors (Zimmermann and Smith, 2011). Fourth dimension is related to the relationship between oil prices and development aid. As Figure 4 clearly illustrates, the uncertainty in terms of the relationship between development aid and oil prices remains as a problematic one. Historically, peaks in Arab aid coincided with periods of increasing oil prices, however, recent trends illustrate that this correlation no longer holds. As it can be inferred from Figure 4, although oil prices increase, Arab aid does not increase accordingly.

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[468] Kuwait had the largest average multilateral share at 20 percent for the entire period, about twice the shares of KSA and UAE.

[469] As an example, OECD data show that, in 2009, the UAE contributed US$ 1.04 billion in gross ODA. Of this assistance, 91 percent was in the form of grants or in-kind aid (such as food aid) and 9 percent in concessional loans. This aid was sourced from the government (76 percent), the Abu Dhabi Fund for Development (16 percent), and foundations and charities (8 percent).

[470] "Generosity" in terms of aid divided by gross national income (GNI).

Section Three: Arab Development Aid and Governance; Challenges and Prospects

Throughout the decades, Arab donors have positioned themselves as clear proponents of the South-South model of aid giving. Heralded for their unwavering commitment to promoting partnership, participation, and solidarity with recipient countries, Arab donors have developed a strategy that embraces South-South priorities and adheres to international calls for stronger donor-recipient dialogue as a means to improve aid effectiveness. As Arab donors begin to widen the regional scope of their aid activities to include more countries beyond the Middle-East and North Africa, new prospects emerge for Arab donors to further assert themselves as major providers of South-South cooperation (World Bank, 2010).

Over the past decade, the regional preferences of Arab donors have shifted (Ulrichsen, 2012). As globalization deepened links between the Gulf States and the international system, high oil prices and increased demand for energy resources from emerging economies served to cast Arab states as leading global players within the international system. With new geopolitical and geo-economic alignments emerging with changing global dynamics, Arab donors began to broaden the scope of their funding to include thickening ties with new Southern allies.

At the bilateral level, funding from Arab donors is increasingly being directed towards poor and lower-middle income countries. While Middle Eastern and North African countries still receive the bulk of Arab donor funding, Arab donors have increasingly allocated larger portions of aid towards Sub-Saharan Africa, and South and Central Asia, mirroring newly increased diplomatic interactions with these regions as a result of the changing global power dynamics (Ulrichsen, 2012).

In terms of multilateral flows, aid allocated through Arab multilateral institutions has increasingly been allocated on the basis of development needs, with Arab multilaterals focusing nearly two-fifths of financial recourses to IDA-eligible recipients and one-fourth to sub-Saharan countries (World Bank, 2010, p. 38). Indeed, while bilateral aid spending has remained fairly consistent since the 1980s, Arab donors have steadily increased multilateral aid commitments from $1 billion in 1986 to $3 billion by 2006. Given the recent rise of the Gulf States within the international spectrum, the emphasis on needs based aid from Arab multilateral institutions may be representative of broader shifts towards increasing support for international goals and development targets (such as the Millennium Development Goals) by Arab donors seeking to solidify and assert their new global status. While Arab states still prioritize aid to regional counterparts, shifting trends in the allocation of Arab aid towards needs-based spending and regional diversification suggests that Arab donors may be increasingly prioritizing the development aspects of aid financing over geopolitical strategy and religious solidarity.

However, it remains unclear whether the expansion of recipients of Arab aid is rooted in a fundamental shift in the development mindset of Arab donors or whether this new trend is grounded in the perceived expansion of opportunities in new regions. At some level, similar shifts towards the redirection of aid away from traditional regional recipient countries appears to be emerging in the aid activities of other South-South donors. In 2006, China provided 44% of its aid expenditures to sub-Saharan Africa, while Brazil's top three aid recipients consisted of the regionally diverse group of Haiti, Cape Verde, and East Timor (ECOSOC, 2008 p. 19). While the degree to which this shift in regional allocation preferences can be extended to include the broader range of Southern donors remains questionable, the redirection of Arab aid towards a more regionally diverse group of lower income countries is an exemplary trend that promises to contribute to the development of lowest income regions.

At the same time, the broadening scope of Arab aid recipients raises concerns that new development linkages may further exacerbate issues of fragmentation within an already poorly coordinated international aid system. In general, the Coordination Group developed by Arab

donors has provided a space to facilitate communication and cooperation among Arab aid agencies, and has largely been praised for its ability to design a clear set of policies and procedures that define best practices in project managements and promote harmonization between Group members. Indeed, under the umbrella of the Coordination Group, Arab donors have pledged to continue to pursue the coordination and harmonization of aid spending and priorities both between Group members, and with the wider development community, through reaffirming commitment to the principles for aid effectiveness outlined in the Paris Declaration (OFID, 2011).

At the same time, international concerns over fragmentation could be addressed through improved cooperation between traditional DAC, emerging, and Arab donors. While the sectoral priorities that drive Arab and emerging donors tend to differ from and DAC donor priorities, with Arab and emerging donors, focusing aid more heavily towards infrastructural projects, specifically towards improving transportation, providing energy, and access to water, while DAC donors tend to provide aid for service provision (education and health care), governance improvement (via budget support), and for actions relating to debt and economic stability, stronger commitments following inclusive international discourse on global aid challenges could help to improve the coordination of aid activities where such priorities and projects overlap (Shushan and Marcoux, 2011).

However, a large part of the ability for donors to counter the potential for fragmentation to hinder development efforts, stems from the degree to which the international community can foster meaningful discussions and representative spaces that allow actors outside of the traditional DAC-donor community to participate and contribute to the creation of policies and agendas for further coordination. In acknowledging that issues of fragmentation cannot be addressed in the absence of donor involvement, the 2011 Fourth High-Level Forum on Aid Effectiveness held in Busan was the first of the aid effectiveness meetings to actively include non-DAC and civil society donors. While the degree to which the Busan agenda has sparked any real improvements to international development coordination remains unclear, Arab donors, who were well represented at Busan, appear to have supported efforts towards strengthening donor coordination and have welcomed a dialogue with Northern and Southern donors to improve the effectiveness of development finance (Atwood, 2012)

While some Southern donors seek to distinguish their aid activities from those of the DAC donors, suggesting a resistance to DAC-dominated agendas and programs, Arab donors have shown support for the Busan agenda (and previously the principles announced in the Paris Declaration), and appear more likely to engage with DAC donors on matters of effectiveness than other proponents of the 'Southern' model. Indeed, Arab donors have already begun to engage in collaborative efforts with DAC and other Southern partners, notably the World Bank, European Commission, AfDB, ADB, and OECD-DAC members. While the further strengthening of donor alignment and efforts to improve aid effectiveness will require heightened levels of cooperation between global aid donors, the inclusion of non-DAC donors within policy-making spaces and the positive response from Arab donors towards global efforts for aid coordination and effectiveness marks a clear first step towards limiting potential fragmentation from Arab aid activities (World Bank, 2010).

Additionally, Arab donors have supported larger efforts towards aid effectiveness and 'best practices' in aid allocation through providing untied aid (Momani and Ennis, 2012). While many DAC donors have historically tied foreign aid to the liberalization of investment law for donor companies, or to the purchase of donor country goods and services, Gulf states have limited the extraction of material gain from aid spending. In terms of the degree to which Arab donors provided untied aid, which Momani and Ennis (2012) note has been a

common practice accompanying Arab aid since 1979, Arab donors appear to be historic leaders in providing aid that supports recipient autonomy and interests.

However, an important challenge preventing further improvements in the international coordination of aid efforts is grounded in governance challenges, particularly the ability and willingness for Arab donors to improve the transparency of bilateral aid activities. According to Shushan and Marcoux (2011), barriers to the transparency of Arab aid appear in two main forms. Firstly, inconsistencies in annual aid data reporting has led to large gaps in aid statistics. While Arab multilateral institutions have tended to provide more comprehensive documentation of aid spending, bilateral donors have been less consistent. From 1988 to 1997, for example, the UAE's Abu Dhabi Fund (ADFD) failed to report any aid statistics. Additionally, bilateral Arab donors generally do not report certain types of aid spending, such as debt forgiveness, further inhibiting the transparency of Arab aid spending.

At the most basic level, the lack of transparency surrounding Arab aid spending, as witnessed through missing aid data, makes it difficult to properly gauge the true extent of Arab aid spending and limits international understanding of Arab aid activities. To some degree, the poor reporting of Arab aid statistics prevents further cooperation between DAC and Arab aid systems by limiting the ability for the larger aid community to understand the differences and similarities between new and traditional donors. As a result, the poor reporting practices concerning Arab aid spending could prevent efforts to improve aid efficiency by obscuring trends in aid amounts and delivery that remain central to discussions of aid effectiveness. On this point, Arab donors could make large contributions to global aid effectiveness programs through improving aid data reporting and increasing the transparency of current and future aid spending.

Secondly, the transparency of bilateral Arab aid is also limited by the tendency for Arab donors to make additional aid contributions above and beyond regular aid spending (Shushan and Mercoux, 2011). Termed 'political aid', Villanger (2007) and Shushan and Mercoux (2011), contend that some Arab donors supplement development aid spending with aid contributions distributed through national Ministries of Finance. A distinction should be made between 'political aid' and politically motivated 'development aid', where development aid, while still susceptible to the geo-political interests of donor governments remains geared towards development-based initiatives, whereas political aid, by virtue of being allocated through Finance Ministries rather than national development funds, may not be explicitly targeted towards enhancing 'development' per se. While some countries use political aid transfers with greater frequency then others, Saudi Arabia for example has been said to conduct a large portion of aid activities through the Ministry of Finance, the point remains that the distribution of aid through political channels further limits the transparency of Arab aid spending. Indeed, according to Villanger (2007), it is "extremely difficult to get information about the magnitudes, purposes, and usage" (p. 13) of political aid flows. In this sense, the distribution of political aid becomes a clear limit to the transparency of Arab aid spending, as the relative opaqueness of political aid further restricts international understanding of Arab aid spending.

Additionally, a series of charitable donations by Gulf rulers has also contributed to the relative 'fuzziness' of Arab aid by blurring the lines between public and private spending (Momani and Ennis, 2012). Sheik Mohamed, ruler of Dubai and Prime Minister of the UAE, for example, has 'personally' established aid campaigns and has provided several large donations to various initiatives. Essentially, the problem with such contributions is the difficulty associated with disentangling Gulf ruler donations from public state finances, where 'private' donations could be financed from public revenues. As a result, the ability to accurately report Arab aid expenditure is further confused, adding to reporting challenges and further hindering the transparency of Arab aid.

However, recent improvements towards increasing the transparency of Arab aid suggest that other norm-based explanations may also account for the historically low-transparency of Arab aid. Indeed, Shushan and Mercoux (2011) contend that part of the opaqueness of Arab aid may stem from the relatively limited exposure Arab donors, and non-DAC donors more broadly, have had to DAC developed aid norms. This rationale suggests that as Arab donors begin to increase interaction with DAC donors and the broader aid community, such exposure may prompt Arab donors to reform aid practices in efforts towards further integration and to position Arab donors within the broader aid community.

Indeed, in 2010, the United Arab Emirates, for the first time, released a whole-of-government report on its aid flows and associated activities (OECD-DAC, 2011). The formal reporting of aid statistics marked a significant point of progress towards the monitoring of non-DAC donors, as the UAE became the first country outside of the DAC to report aid activities in such detail. In the absence of significant changes to UAE governance, the willingness of the UAE to report aid data to the OECD may be linked to greater exposure to DAC practices and larger efforts by the UAE to engage with the international aid community through adopting DAC norms.

In addition to issues of transparency, the effectiveness of Arab aid could also be improved through efforts to decrease the volatility of Arab aid spending (Shushan and Mercoux, 2011). Indeed, the heavy reliance on oil revenues as a source of financing for bilateral aid spending has raised concerns surrounding the volatility and sustainability of Arab financial assistance. While some have noted that the Arab financial institutions tend to be well-capitalized and conservatively managed, making Arab financial institutions relatively reliable providers of financial resources, clear links between the volume of Arab aid flows and the cycle of oil production remain somewhat worrisome, particularly given the recent increase in Arab flows associated with the rising prices of petroleum.

Indeed, issues of volatility are particularly pronounced when prefaced against Arab donor preferences towards longer-term aid arrangements over short-term development projects. Given that long-term projects tend to be funded via disbursements over the project timeline, program effectiveness could be severely disrupted by discrepancies between donor commitments and disbursements as affected by oil revenue cycles. According to Desai and Kharas (2010), the failure to meet aid commitments through shortfalls in disbursement amounts could force recipients to cut planned expenditure or raise domestic taxes, while the basic inability to fund planned tasks limits program effectiveness and threatens development progress. To improve the overall effectiveness of Arab aid, donors should consider striving to improve the stability and predictability of aid outflows in efforts to avoid large drops in aid disbursement correlated to declining oil prices.

Conclusion
A Qatari Perspective
The overall picture provided above presented the historical cornerstones and changes pertaining to Arab development aid. A recent analysis of Arab development aid has to take into account the recent developments, especially the establishment of the Qatar Development Fund (QDF) initiated by Sheikha Moza Bint Nasser. Qatar's rising development related efforts have been addressing many of the problems and deficiencies of Arab development aid we have presented above. Although KSA, Kuwait and UAE have been the primary instigators of Arab development aid historically, Qatar's role have recently became more prominent especially by offering a multi-faceted institutional and strategic roadmap. This roadmap is instituted through a constellation of various Qatari institutions and initiatives and overall Qatar has been bringing a new wave of transformation and changing contours of Arab development aid.

QDF and its structure provide optimism especially in relation to the objective of directing 50% of QDF's grants to be allocated for educational purposes. Although at early stages, we argue that the establishment of QDF provides a viable beast for the evolution of Arab development aid. More specifically, QDF will build on the already established practices of Qatari international initiatives, such as Qatari NGOs foreign aid and assistance during the course of 2010-2011 accounts for approximately QR 1.6 billion and 24% of this amount spent only for educational purposes. Development field followed with a share of 18.89% (Al Diplomacy, 2012). Inspired by Qatar National Vision 2030, Qatar's overall development assistance reached QR 5.3 billion and 108 countries benefited. Overall, QDF, Qatar Ministry of Foreign Affairs, Qatar Foundation and Qatar Investment Authority is reshaping the contours of the new dynamics of Arab development aid, which will have stronger and more effective implications on attaining better governance mechanisms not only in the Middle East, but also in all of the Arab aid recipient countries.

Finally, it should be noted that Qatar's increasing visibility and reputation unfolding with a unique state diplomacy, acting as a diplomatic mediator with an unconventional repertoire (Cooper and Momani, 2012) fuels more optimism pertaining to Qatar's potential contribution to international development.

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RURAL INFRASTRUCTURE STRATEGY FOR POVERTY REDUCTION IN NIGERIA: YOBE IFAD-CBARDP EXPERIENCE

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Abstract

Rural development is a veritable tool for fighting poverty and achieving economic prosperity at the grassroots level. The concept of rural development embraced by most countries connotes a process through which rural poverty is alleviated by sustained increases in the productivity and incomes of low – income workers and households. The major thrust of this study was to assess the rural infrastructure strategy for poverty reduction implemented by IFAD Community-Based Agricultural and Rural Development Programmme in Yobe State, Nigeria. Objectives were achieved using multi-stage sampling techniques. A well-structured questionnaire was used to elicit primary data from respondents. Secondary data was the base line data of IFAD-CBARDP. Descriptive statistical tools were utilized for analyses and the respondents' level of satisfaction with the infrastructure provided was obtained using likert scale. The findings revealed that, majority (51%) of respondents were male with age ranging between 20 and 65 years averaging 40 years. About 97% were married having a household size range of 5-10 persons and about 68% had formal education. The result for the provision of basic infrastructure by IFAD-CBARDP based on respondents' benefit indicates that water had the highest accessible basic infrastructure by respondents with 91% whereas, Schools provision was recorded as 2nd benefitted infrastructure, Health centres 3rd infrastructure with 64%. Respondents also highlighted their benefit on Para vet clinic, Culvert, Vocational centres, Latrine and staff quarters 16%, 13%, 7%, 3% and 2% respectively. Respondents' level of satisfaction on the infrastructure provided was perceptibly satisfactory. Therefore, it was recommended that, IFAD-CBARDP should be replicated in other States of the Federation in order to record a national poverty improvement. Hence, programme planners and implementers are urged to intensify awareness creation among rural dwellers and adopt the use of community driven development approach (CDD) in the execution of rural development projects with poverty alleviation thrust as in the case of IFAD-CBARDP.

Keywords: Rural infrastructure, poverty, IFAD-CBARDP, participants.

Introduction

In Nigeria or elsewhere, Poverty is real, endemic and devastating; and therefore, Nigeria's rural population accounts for over 70 percent of poor households - more than 98 million people, and about 17 million households. The 2003-2004 Nigeria living standard survey indicated that States in the Sahel region recorded the highest incidence of poverty, with about 80 per cent of the population described as poor (IFAD, 2010). However, Rural Infrastructure Strategy for Poverty Reduction could be seen as a subject of the overall economic development strategy of developing countries. In essence, the rural infrastructure strategy is not an alternative to other poverty alleviation strategies for economic development, but an extension and natural revolution. According to Idachaba (1989) the general notion underlying the rural infrastructure strategy is that; it is difficult for the rural sector to contribute significantly to the economic progress in the absence of basic facilities that also

enhance their living standards. Chinsman (1998) Observed that, rural communities are seriously marginalized in terms of most basic elements of development. In addition, the inhabitants tend to live at the margin of existence and opportunities. Most rural communities lack potable water, electricity, health care, educational and recreational facilities and motorable roads. They experience high population growth rates; high infant and maternal mortality, low life expectancy and a peasant population that lacks modern equipment that can guarantee sustainable exploitation of the natural resources on which they live.

Ayoola (2001) is also of the opinion that, the world approach is to launch massive attack on rural poverty, which will benefit the urban economy in the long run. In this connection, rural infrastructural build-up is considered as the primary requirement of the rural people to manifest their full economic potentials. In same manner Ekong (2003) look at rural infrastructure as those underlying basic physical, social and institutional terms of capital which enhance rural dwellers' production, distribution and consumption activities and ultimately the quality of their life. Often these include structures which cannot be privately provided and so call for large capital outlay on the part of the government.

The facilities were however, described under the three categories:

Rural physical infrastructures;

Rural social infrastructure and

Rural institutional infrastructure

Rural Physical Infrastructure: this has to do with provision of rural roads, which cause accelerated delivery of farm input, reduce transportation costs and enhance spatial agricultural production efficiency. Storage facilities; which help to preserve foods in the farms that consumers need them and to the time they need them. Hence, On–farm storage also helps to stabilize inter- seasonal Supplies. Irrigation facilities, which assure farm water supply and stabilize food production by protecting the farm production system against uncontrollable and undesirable fluctuation in domestic food production. Other includes: Building of schools and equipments, Health centres, Postal services, housing and recreational facilities.

Rural Social Infrastructure: which includes; Clean water, decent housing, environmental sanitation, personal hygiene and adequate nutrition which help to improve the quality of life? Also, Formal and informal education which promote rural productivity by making the farmer to able to decide agronomic and other information so as to carry out other desirable modern production practices; basic education also promotes feeding quality, dignity, self respect,- sense of belonging as well as political integration of the rural people.

Rural Institutional Infrastructure: this has to do with the formation of Farmers unions and cooperatives which facilitates economics of scale and profitability of rural people, Agricultural extension which improves technological status of the farm business respectively.

Therefore, a strategy to reduce rural poverty needs to incorporate policies to develop both production-oriented and welfare-oriented infrastructure, in order to improve poor people's productive capacity and quality of life. For example, providing services such as irrigation, power and transport in rural areas would open up new opportunities for diversifying incomes and employment in backward areas. Constructing drinking water supply schemes and sanitary facilities would reduce mortality and morbidity, and enable people to live healthier, more productive lives. Similarly, better school buildings and teachers' quarters would help improve the quality of education and make children of poor families upwardly mobile. Note that, several other stylised facts about rural infrastructure and its impact on economic growth and the poor have emerged from the literatures. For example, how effective an infrastructure asset would be in meeting the needs of the poor would depend on characteristics such as quality, reliability and quantity. At the same time, its impact would vary not only by sector, but also by its location and timeliness. Even so, though developing infrastructure promises to hold many benefits for the poor, it is not sufficient on its own to generate sustained increases

in economic growth in rural areas. But while analysts may agree that developing infrastructure in rural areas is a necessary condition to reduce poverty, not all rural infrastructure development programmes have been uniformly successful in delivering these benefits. Therefore, a crucial question that policy makers face is how can such programmes be designed so that their impact on the productivity and welfare of the poor is maximised and sustained? (CIIM, 2009).

However, the International Fund for Agricultural Development, Community-Based Agriculture and Rural Development Programme (IFAD-CBARDP) is an integrated agriculture and rural development programme aimed at improvement of livelihood and living conditions of the rural poor with emphasis on women and other vulnerable groups, especially physically challenged and dejected people, using Community Driven Development approach (CDD). The programme is jointly funded by International Fund for Agricultural Development (IFAD), Federal Government of Nigeria (FGN), and seven participating States -Borno, Jigawa, Katsina, Kebbi, Sokoto, Yobe and Zamfara; Sixty nine Local Government Councils (LGCs) in the seven states, where two hundred and seven (207) village areas (VAs) have been selected from the participating Local Government Councils and World Bank (WB) is the cooperating institution, Annual Progress Report (APR, 2007).

In Nigeria the first phase of the programme came into being in January 2003 and elapsed in March 2010. The Yobe state programme was declared effective on the 31st January, 2003 following the fulfilment of loan covenants set forth for effectiveness. The programme had been implemented in Nine Local Government Areas of the State namely; Karasuwa, Yusufari, Bursari, Nangere, Yunusari, Tarmuwa, Machina, Fika, Fune and their respective 27 village areas.

This paper seeks to explore on rural infrastructural strategy for poverty reduction in Yobe State using IFAD-CBARDP experience, after the first phase of its programme. The objectives were however made to identify the socio-economic characteristics of participants in the study area, to assess the level of accessibility of infrastructure provided by IFAD-CBARDP and to determine the respondents' level of satisfaction with the infrastructure provided in the study area.

Methodology

The study was carried out in Yobe State. The State is located in the North East zone of Nigeria with its headquarters at Damaturu. It lies between latitude 12^{0} 00'N and longitude 11.30^{0} E, covering a land area of about 45,502 square kilometres (km2), with a population of about 2,321,591 people (NPC, 2006)

However, in order to assess the rural infrastructure strategy for poverty reduction using IFAD-CBARDP experience in Yobe State, all the three senatorial zones of the State were selected; taking one Local Government Area from each zone that participated in the IFAD-CBARDP. The zones include: Northern senatorial zone; Central and South Zone respectively. To determine the sample size of the population in the study area, a multistage sampling technique was employed to get the respondents. In the first stage, three Local Government Areas were purposively selected in each zone: Karasuwa in Northern zone, Bursari in Central and Fune in South zone, out of the nine benefiting LGAs in Yobe state, for easy accessibility and to cut across the State. In the second stage, simple random sampling technique was used to select two benefiting villages from each Local Government Area, making a total of six villages. Thirdly, 10% of the population was randomly selected from each village, which form the sample size of (160) of the total population. The data collected includes; socio-economic characteristics of participants in the study area, infrastructure provided by IFAD-CBARDP in study area and data on respondents level of satisfaction with the infrastructure provided in the study area. The data collected were analyzed using descriptive statistics, involving frequencies

and percentages. The respondents' levels of satisfaction with the infrastructure were also obtained using Likert Scale.

Results and Discussions

This section presents the results and discussion of the data obtained from IFAD-CBARDP participants on their socio-economic characteristics, infrastructure provided to the communities by IFAD-CBARDP and respondents level of satisfaction with the infrastructure provided in the study area.

Socio-economic Characteristics of Respondents

The socio-economic characteristics of the respondents identified include; Gender, Age, Marital Status, Household Size, Level of education, Membership of cooperative society, Experience in IFAD-CBARDP and Access to Credit. Evidence from the descriptive analysis of socio-economic characteristics of the respondents in the study area as shown in Table 1, revealed that 51% of the respondents were male and 49% were female. This showed that both gender were adequately represented in the IFAD-CBARDP, with little variation in favour of male respondents, which may be as a result of the cultural barrier in the area of not allowing women to come out and participate in any programmes freely. The age of the respondents ranged between 20 and 65 years with an average of 40 years. This implies that, the respondents are middle aged and so still active and can participate adequately in development programmes. The age distribution as evident in the data is expected to have positive influence on the respondent's participation in IFAD-CBARDP programme, which invariably meant better livelihood. It was also observed that majority (97%) of the respondents were married and 3% were single. This shows that most of the respondents will have greater responsibility than the single, which may encourage respondents to be committed towards their participation in IFAD-CBARDP programme. Perez-Morales (1996), noted that there is a trend for rural youth to start having responsibilities at an earlier age than urban youth. Hence, the tendency to marry early helps in building a virile farming population.

The result in Table1 also, indicates that about half (49%) of the respondents had 6-10 people in their households, while, 31% had household size of less than 6 people. This implies that respondents had dependents to cater for and their participation in programmes like IFAD-CBARDP could help in engaging them on the farm and improving their livelihood. Majority (68%) of the respondents had formal education. Such level of education is expected to have positive impact on the respondents' participation in the IFAD-CBARDP. The respondents with no formal education were about 32% respectively.

The data in table 1 also reveal that, Participants of IFAD-CBARDP belong to cooperative society; the maximum number of years spent as members of cooperative society was 9 years and a minimum of 1 year. Respondents with 4 – 6 years of membership duration constitute 61% while 20% had 1-3 years of membership of cooperative society. With this level of membership duration, it could be said that majority of the respondents have had long duration of experience as members of cooperative group which can facilitate understanding of the programme due to interaction among members. Also, Majority (62%) of the beneficiaries had between 4 and 6 years of experience in IFAD-CBARDP activities, while 24% of the respondents had experience of 7 to 9 years and the lowest percentage (13%) falls within 1to 3 years of experience in IFAD-CBARDP. These years of experience in the programme are expected to translate into better utilization and understanding of the programme which may invariably result into better income as well as standard of living. It was also, observed in Table 1 that 56% of the respondents had no access to credit facilities. This low access to credit could be attributed to the fact that IFAD-CBARDP seldom grants financial credit to participants. Rather, participants are trained in entrepreneurial development. Ekong (2003)

asserts that credit is a very strong factor that is needed to acquire or develop any enterprise; its availability could determine the extent of production capacity.

Table 1: Socio-economic characteristics of respondents

Variables	Frequency	Percentages	Mean
Gender			
Male	82	51.2	
Female	78	48.9	
Age (years)			
20-29	19	11.9	
30-39	52	32.2	40
40-49	54	33.8	
50-59	34	21.2	
60-69	1	0.6	
Marital status			
Married	156	97.5	
Single	4	2.5	
Household size			
0-5	49	30.6	
6-10	78	48.8	
11-15	29	18.2	
16-20	3	1.9	
21-25	1	0.6	
Level of education			
No education	51	31.9	
Adult education	21	13.1	
Primary	34	21.2	
Secondary	38	23.8	
Tertiary	5	3.1	
Others	11	6.9	
Membership of cooperative society (yrs)			
Non members	5	3.1	
1 -3	32	20.0	
4 -6	97	60.6	
7 -9	26	16.2	
Experience in IFAD-CBARDP (yrs)			
1 -3	21	13.1	
4 -6	100	62.5	
7 -9	39	24.4	
Access to credit			
None	89	55.6	
Access	71	44.0	
Total	160	100.00	

Infrastructure Provided by IFAD-CBARDP in the Study Area

The data in Table 2 indicates that provision of water ranked 1st among the infrastructure provided by IFAD-CBARDP in the study area accessible to about 91% of the respondents. Schools provided ranked 2nd among the infrastructure provided accessible by 78% of the respondents. This could increase the level of literacy in the area which can tantamount to economic development. Other infrastructure accessible to the respondents were health centres (64%) and Para vet clinic (16%), culvert (13%) and Market shade (11%) ranked 3rd and 4th respectively. Staff quarters were the least accessible infrastructure to the respondents which was ranked 9th with 3% of the sampled respondents highlighting accessible from the infrastructure. From the result, the functional status of these amenities provided may bring about income savings stemming from reduced expenditure on the items which can be

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diverted to other areas of consumption such as food which may improve the feeding standard of the respondents. Thus, the infrastructure in question may bring about development to the area of study which may transform the lives of the residents as well as improving their livelihood and thereby reducing the level of poverty in the study area.

Table 2: Distribution of infrastructure Provided in order of respondents benefits

Infrastructure	*Frequency	*Percentage	Ranking
Water	146	91.2	1st
Schools	124	77.5	2nd
Health centre	102	63.7	3rd
Para vet clinic	26	16.2	4th
Culvert	21	13.1	5th
Market shade	17	10.6	6th
Vocational Centre	11	6.9	7th
Latrine	6	3.7	8th
Staff Quarters	4	2.5	9th

*Multiple responses

Respondents Level of Satisfaction with Infrastructure Provided

The data in Table 3 reveal that, provision of water by IFAD CBARDP was satisfactory to the respondents with weighted mean of 3.7 which exceeds the mean ($\overline{X}$) score of 3 which was obtained as the average for the 5-point likert scale (1 + 2 + 3 + 4+ 5 = 15/5 = 3). Therefore, the respondents were satisfied with the water provided by the programme. Water, a necessity of life is provided by the programme to aid level of living and minimise scarcity of water. Thus, provision of water has brought about improvement in water supply which minimizes cost of water procurement in benefitting communities. The result in Table 3 also, revealed that respondents were satisfied with provision of schools in the area. The weighted mean of satisfaction level obtained from the respondents was 3.4, exceeding the mean ($\overline{X}$) score of 3. Provision of schools may bring about upgrading of the educational status of the residents in benefitting communities, which invariably reduce the level of illiteracy, improvement in the enrolment of pupils as well as saving of income which could have been used for taking the pupils to other places for education. Formal education serves as a spinning factor for adoption and participation of individuals in programmes. More so, the satisfaction level of respondents on health facilities provided by the programme revealed a weighted mean of 3.5 implying an overall perception of satisfied with health facilities provided because the weighted mean was greater than the mean ($\overline{X}$) score of 3. The result therefore indicates that provision of health facilities would upgrade the health status of the benefitting respondents. Also, provision of health facilities in the area implies that diseases can easily be eradicated, thereby improving the health status of the benefitting communities for improved labour force. However, the result for the level of satisfaction for credit facilities provided by the programme indicate a weighted mean ($\overline{X}$) of 2.8 which is lower than the mean score ($\overline{X}$ = 3) of satisfaction perception by the respondents (Table 3), indicating that provision of credit facilities have not met the satisfaction level of the respondents. This implies that, the beneficiaries need other forms of credit to boost their productivity which would bring about improved standard of living. If credit is invested into an enterprise it is expected that it should lead to higher levels of output and better standard of living, but in case the credit is not accessed on time and inadequate, it may, more often than not, lead to misapplication of funds. Hence, the expected impact of such funds will not be felt on the enterprise. Also, if the credit is invested in consumption purpose, it may not likely lead to an improvement of output or livelihood. It was also, observed that the respondents were satisfied with provision of farm inputs by IFAD- CBARDP as indicated by the weighted mean ($\overline{X}$) which exceeds the mean score ($\overline{X}$) of perception for the infrastructure provided by the programme (that is, 3.6 > 3)

(Table 3). From the result, the respondents may experience improvement in farm productivity as well as encouragement in the area of farming and other related activities. Result presented in Table 3 further revealed that the respondents' perception with vocational skills/ centres provided by IFAD-CBARDP was satisfactory because the mean score ($\overline{X}$) of 3 was lower than the weighted mean ($\overline{X}$) of 3.9. This result may mean that provision of vocational skills has created employment / skills acquisition opportunities for the benefitting respondents which may have resulted to higher income generation and invariably better livelihood, vis-a-vis poverty reduction.

Table 3: Respondents' level of satisfaction with infrastructure provided

Level of satisfaction	Weighted mean	Overall Perception
Provision of water	3.7	Satisfied
Provision of Schools	3.4	"
Health Facilities Provided	3.5	"
Provision of Credit facilities	2.8	not satisfied
Provision of farm inputs	3.9	Satisfied
Provision of vocational skills/centres	3.8	"

Conclusion

This study was aimed at providing useful and basic information on the assessment of rural   infrastructure strategy for poverty reduction using IFAD-CBARDP experience in Yobe State,   after the first phase of its programme. From the findings, the results indicates that rural   infrastructure provided by IFAD-CBARDP were beneficial and mostly satisfactory to the   participants of the programme. Therefore, it can be concluded that IFAD-CBARDP has   improved the lives of the participants in Yobe State.

Recommendations

In view of the major findings the following recommendations were made:
 Rural infrastructure strategy implemented through IFAD-CBARDP had positively improved the lives of participants in Yobe state. It could therefore be recommended that, the same programme be replicated in other States of the federation.
 Finally, Programme planners and implementers are therefore urged to intensify awareness creation among rural dwellers and adopt the use of community driven development approach (CDD) in the execution of rural development projects with poverty alleviation thrust as in the case of IFAD-CBARDP.

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LEBANESE EMIGRANTS: CROSS-CULTURAL VECTORS

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Abstract

Lebanese Emigrants: Cross-cultural Vectors

Unlimited technological discoveries and innovations, globalization, cross-cultural paradigms, wars, international communication and interdependency have contributed to unprecedented worldwide human mobility through emigration. Lebanon was highly affected, for the number of its emigrant citizens to foreign countries exceeds 3 times those still residing in the home country. The 14 million Lebanese emigrants are settled all over the world in search of economic, health and personal security. The official Lebanese policy today focuses upon establishing bonds with the emigrants, based on the importance of having them liaise with their country of origin on the socio-economic and political levels. These emigrants acted as transporters of Lebanese culture into the world and in return carry foreign culture into Lebanon. The research concentrates upon the role of international cultural trends over the Lebanese youth. It also offers recommendations to effectively deal with this issue for the mutual benefits of both the resident and emigrant Lebanon.

Keywords: Human mobility, economic security, emigrant, culture, transporters

Introduction

Cross cultural exchange, adaptation to different values, and readjustment to cultural conflicts emerged from the globalization trends in the twentieth century; particularly following the fall of communism in 1990. The East-West conflict that dominated international affairs, for over seventy years, ended leaving many demographic changes, through fluxes of refugees and emigrants from Asia, The Middle East, Africa and even Latin America, in search of freedom and economic prosperity. Soon, the ideological-political conflict began taking different forms and dimensions, leading to cultural paradigm. Samuel Huntington[1], supported by Thomas Freedman's "Lexus and the Olive Tree"[2], followed by Benjamin Barber's quotation "Jihad vs. McWorlds," launched the theory of "Clash of Civilizations" which revolves around cultural conflicts.

The East-West conflict, accordingly, is presently rooted in cultural differences, stereotyping of nations, and uncontrolled concept of freedom, that glorifies individualistic tendencies and objectives. Most dangerous are the waves of terrorism that feed upon religious fundamentalism.

The objective of this research is not to venture into futile debate relating to "divine culture," or "who is right or wrong?"; rather to concentrate on those Lebanese citizens, who emigrated to various parts of the world, fleeing from slavery, abuse, terror, and poverty. They sought freedom, self-esteem, economic wealth and personal safety.

The research question revolves around those emigrants who were transplanted from an unnatural anthropological, socio-political environment into a foreign one that, often, caused, for the first and to a lesser extent the second generation, cultural conflict paradigm. As results, some of those emigrants faded in their new environment, and severed ties with their ancestral home; others were unable to overcome some romantic nostalgia in their hearts and minds, to

return to their home of origin and relive the old customs, values and traditions of their childhood.

This research is concerned with this group of emigrants and the cultures, values, customs, ethics, moral conducts, and other cultural matters they imported.

The objective is to highlight the problems, impact, influence and change, they exert through cultural diversity, partially effectuating the present national environment

The authors rely in this paper upon data from primary sources based on personal contact with some of the returnees, and on secondary literature to provide some historical facts and possibly meaningful statistics. The encountered barriers, in this research, were mainly the lack of clear information in the Lebanese governmental archives and records.

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Thomas L. Friedman,1999, The Lexus and the Olive Tree(New York:Frrar, Strauss, Giroux); Benjamin R. Barber, 2001, Jihad vs. McWorld (New York: Ballantine Books,2001

Main Text
The Lebanese emigrants: an overview

Accurate estimates about the Lebanese diaspora are hard to collect and validate due to poor, limited and archaic information. It is, however, declared, with optimism or perhaps some exaggeration, that around fourteen to sixteen million individuals of Lebanese decent are scattered all over the globe, while the national residents number about 4.5 million inhabitants. Here also, there is a question mark about whether three to five percent of those residents are legal national Lebanese or illegally nationalized with falsified documents? Among those Lebanese residents it is also estimated that several hundred thousands reside and work in the Gulf countries and Africa.

The author chose to cluster the Lebanese emigrants into three different time-periods.

The first began in the mid nineteenth century, in particular, following the local Mount of Lebanon wars of 1840, 1860 till 1914.

Those emigrants fled Turkish tyranny, fundamental sectarianism and religious persecution. Some moved into Egypt and became instrumental in launching Arab Renaissance, while the majority sailed to North, South America, and Europe.

The second wave started with World War I till 1960. These emigrants were motivated by developing economic wealth and security. A small group was drawn to the Gulf region that was much in need of skilled labor; others left to Africa and Europe.

The third wave started in 1960 till the present time. It reached its height between 1975 and 2005 due to the civil - sectarian war. The number of emigrants in that exodus bypassed the eight hundred thousands. It was a tragic brain-drain process. It is fair, however, to acknowledge the economic assistance those emigrants provided to their families during the fifteen years of war. Their economic role is highly laudable.

Presently the trend of immigration continues, whereby a large number of Lebanese citizens leave their country in desperation. Unfortunately, they are, sometimes, replaced by an equal number of nationalized foreigners and refugees. Yet, no clear policy has been proposed by any of the "great" "zouama" (leaders) to tackle and resolve this deadly demographic and cultural trend.

The causes of this perpetuated Diaspora

Before addressing the core of this issue of Lebanese emigrants and re-emigrants, several questions must be clearly and transparently examined and answered.

Why do Lebanese emigrate in such large numbers when their country is considered "the Swiss of the orient" or "tourism heaven"? Have the emigration grounds that existed in the last centuries disappeared or intensified?

Does the government possess reliable statistics to help formulate a clear policy to retain the young talents in this country?

Do Lebanese consulates and embassies abroad effectively relate to the emigrant's needs and wellbeing?

What are the major benefits Lebanon would glean and realize from the return of those emigrants? Should they return or not?

What is being earnestly and effectively done to facilitate their return?

Assuming they would return, what then does this country offer them?

If the answers to these questions are sensitive and complicated, one should then, in depth, reexamine the whole issue and specifically the reasons that drove citizens to emigration?

The main reasons behind emigration

Assuming that the objective is to deal with these issues, in a truthful and transparent manner, one would have, then, to analyze the reasons behind emigration, in order to stop or reduce its trend and negative impact; rather than spending much energy and time to bring back 14 million emigrants back to their country of origin.

The most important reasons may be summarized in the following:

A corrupt political system, ruled by a political-economic mafia, feudal lords, and family clans, who monopolize the national and political powers. Lack of equality, transparency, and integrity vs. divinization of crimes, theft, bribery, and "wasta". A system ruled by several mini-states, each heavily armed, defying all kinds of laws and covenants; a system formed of several mini Lebanons: that of the resistance, the armed Palestinians, the armed parties, religious groups as well as regional military intelligence organizations.

Blind sectarianism and fundamentalism based on stereotyping, ignorance, hypocrisy, and betrayal of the continually preached divine virtues of tolerance, love and peace. One wonders whose god is the most powerful in the battlefield wanting us humans to torture, kill and destroy each other.

Personal insecurity in a lawless society, whereby might justifies the ends, freedom and democracy are used to perpetuate the powers of the ruling elite; a society that, instead of attracting foreign direct investment (FDI), encourages wealthy Lebanese businesses to flee in search for overseas opportunities and safety.

An archaic educational system tailored to satisfy certain elites, individuals, religious groups and introvert bureaucrats, who promote ignorance; rather than prepare and mentor future leaders and men of science.

An economic system, lacking planning and leadership where the ambitious youth is paid six hundred dollars per month, a salary that is clearly below poverty level. Worse, a centralized administrative system whereby the citizens' basic necessities are not met; rather confiscated by the few. Urbanization processes that destroy the ecosystem and quality of life. Amidst all these ailments, Lebanese officials excel in making verbal promises and, misrepresentations, along with inequitable taxation laws leading to the ultimate tragedy of high unemployment.

A silent majority ruled by fear, indifference, and apathy, that is unwilling to stand up and fight for what is right.

Lebanese public management

Normally, responsible and ethical officials, in the civilized world, are requested to organize their departments, formulate plans, coordinate policies and activities, implement laws and review the results.

In the Lebanese case, the laissez-faire style of governance applies, leading to many questions to be raised in relation to the emigrants. Who are those public managers? What are they doing regarding emigration trends? Do they love themselves or their country? Why can't Lebanese missions abroad follow the examples of missions of other countries and register their emigrants?

The answers reached by the author to these questions are very simple:

The Lebanese officials, pressured by sectarian affiliations and sometimes personal biases are incompetent and uninterested in caring for the emigrants.

There is an evident lack of qualified bureaucrats starting from the top to the bottom, who can handle the problems.

Inefficient Foreign Ministry due to an acute shortage of qualified and well trained public officials at all levels.

The common belief among sectarian groups that these emigrants may affect their powers and cause change in the religio-demographic status quo, consequently they should remain where they are in foreign countries as long as they stay outside.

Simultaneously, the irony lies in the virtual race by public officials, when the emigrants 'issue is raised, to verbally express their sympathy and philosophical support to promote the return of the diaspora.

The actual Lebanese socio-economic-political environment

The citizens of Lebanon, although generally silent, are aware of the abuses and exploitations they are subjected to by their self-appointed leaders. They understand that power is monopolized, but do not know, nor dare face the problems, fearing painful retributions.

The real facts, however, lie in the absence of an independent Judicial Branch; worse, the legislative control of the Executive Branch. This awkward and unhealthy political system, forces the educated free souls to search for distant opportunities. Local crimes, of all kinds, are continually committed in a variety of ingenious ways, yet few arrests are made and no justice served. The people's food is poisoned; the medicine is spoiled, in addition to no electrical power, no clean water, nor proper roads or highways to drive on… Those are few of the real facts of Lebanese life.

As for the economic issues, the story is even more desperate. The *laissez-faire* system drives each citizen to care for oneself, and all for the boss.

Young graduates are made to believe that opportunities of success are within their reach; instead, and in a short time, they are shocked by unemployment and poverty leading them to despair leaving the country. The choices, at their disposal, are limited to few: live in poverty, be patient and keep hoping for "*godot*" to come and save the situation, join the wagon of corruption, or last, emigrate.

If they decide to start a family and purchase an apartment, they have to work two jobs. Consequently, the couple would go to work leaving the children to their parents or to a house helper. Others choose to delay or give up on the marriage institution.

A ruling bureaucracy in a centralized system

To topple these deficiencies, Lebanon is ruled by a bureaucracy that lacks proper training, education, and administrative ethics. Public jobs are considered a financial security for non-ambitious, lazy and greedy individuals. Those bureaucrats have been described as "midgets "managing the public sector.

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All those many factors and many more drove ambitious and intelligent Lebanese to leave their country.

The Lebanese Presence Abroad

The majority of Lebanese emigrants are concentrated in North and Latin America, Europe, Africa, and the Arabian Gulf countries.

The Lebanese emigrants, regardless of the new home choose and acquire its nationality, and work very hard, as a minority, to succeed; consequently, the only option they had was to fully blend with their new environment, acquainting themselves with new cultures, values, customs and languages. They had to apply the adage stating "when in Rome, act as a Roman". Their children had to attend local schools, and adapt to local culture and behavior.

Lebanese emigrants: cross cultural vectors

The main concerns of those emigrants revolved around accumulating wealth and fame to safely raise and protect their families in a prosperous surrounding. Subsequently, the great majorities forgot their ancestral home, or were no more interested into returning to settle in an underdeveloped and corrupt environment.

Presently there are many talks, in political circles, about encouraging and facilitating their return, but the speeches remain ink on paper or pep talks. What is then the main reason for such public outcry by public officials? What is being camouflaged? Is it truly to attract FDI through the diaspora, or the truth revolves around gaining demographic numbers to boost sectarianism for the benefit of one group over the others?

Assuming that the intentions are noble as claimed, what then can those officials offer to the returnees? Does the attraction consist of having them participate in parliamentary elections, or run for public office, enough to draw them?

Assuming they returned and were represented in the parliament, will their voices be heard in this dark jungle? Aren't they being misled through virtual dreams of glory and happiness? How many did already venture and return, then, re-emigrated after a short time? Is this the strategy to liaise between the diaspora and the local Lebanese communities?

The returnees multiple cultural faces

A number of returnees, while living in foreign countries, kept alive the romantic dream about their country of origin embodied in their subconscious; namely the beautiful, clean, green, hospitable, and virtuous Lebanon, the pure villages' water fountains, the scenic roads, the beautiful and righteous girls, handsome and noble men, a true paradise that fills the heart with happiness, love, and prosperity. It is an exquisite rustic painting that time abroad was unable to erase from the first emigrant generations' conscience.

But now as they return, those dreams are shattered and replaced by a devastating reality of shocks. They return with loads of ideas and values, acquired in the West, such as democracy, human rights, equality and justice, freedom of worship and expression, energy to lead and battle against corruption and violence. What they truly experience is quite disappointing that they began regretting their decision.

The returnees cultural influence upon the Lebanese society

The few re-migrants who opted to return, were mainly driven by a combination of factors:

The religious-cultural factor. They ran away from the Western sexual promiscuity their children were exposed to in foreign cultures. This involved customs, behaviors, laws and religious practices. Some were anxious to search and select spouses for their children.

The socio-political factor. The older generations feel more comfortable among their local peers in Lebanon, instead of being victimized by certain stereotyping declarations in foreign countries.

Economic factor that includes opening business of imports, real-estate, retailing, manufacturing etc.

Romantic factor that encompasses personal dreams and objectives.

The peculiar general trend among the returnees has shown that most of the Christian returnees, after spending a short time, fail to acculturate, and with great disappointment, bitterly opt to re-emigrate.

As for those who remained, they are usually classified into three groups.

The elderly generation, over sixty years of age, prefer to live with their families amongst their clans in Lebanon. They rely on the financial savings they accumulated while abroad, in addition to benefits they would collect from Social Security, life insurance policies, and possible investment and retirement plans. Consequently, they can live quite comfortably.

The middle aged generation, open usually a small business and reintegrate themselves into the Lebanese setting. This group is usually unattached, nor willing to permanently settle abroad for legal, social, financial, personal and other reasons.

The third group encompasses the children and the youth who often had no choice but to follow what their parents prescribe. This is the group which exerts much cultural influence, transplanting foreign ideas and concepts to their Lebanese counter parts.

Since there is no accurate count about either of these groups, the author did acquire some primary information from some embassies based upon the number of registered Lebanese having dual nationalities. The U.S Embassy, for example estimates the number of Americans of Lebanese descent, presently living in Lebanon is beyond 100.000. The French embassy, the Canadian, Australian and others have also important numbers. The figures may only provide a shy reflection of the reality. Emigrants to Africa and the Gulf countries are excluded.

There is no doubt that due to the sectarian division of the Lebanese society, and the importance of head counting in each faction, the returnees may play an important role in public elections in favor of a specific group.

It is also becoming evident that the general idea behind welcoming the return of the diaspora are demographic reasons, namely to increase the number and power of a specific religious group over the others.

In spite of these undeclared objectives, the returnees do greatly influence the Lebanese socio-cultural and political environment, specifically in schools, universities, clubs, and political parties.

In general, the young men and women returnees were able to indoctrinate their native Lebanese counter parts with important socio-cultural and ideological concepts. In the schools and universities, a cultural revolution is being fomented to reject taboos about certain old values, sexual behaviors, civil marriages, and expanded amoral space. Western technology, pop music, and a teenager's culture are being disseminated within specific circles.

The main question in this research does revolve around the benefits as well as the negative impacts the returnees have impacted upon the socio-cultural life in Lebanon.

As for the expats, who chose to emigrate to Arab countries or Africa in search of fortune, the issues differ. They had to pay a deer price, mainly the split of the family, whereby the wife is left behind, victim too many types of problems. The children are raised by either a single parent or a housekeeper.

Although those expats did repatriate funds into Lebanon to support their families and construct luxury homes, they, often, discover that their decision to return was not too sound.

Lebanon, in turn, continues, through the brain drain process, to lose its talented citizens, and above all, the real Lebanese cultural personality.

The Lebanese culture

Every country or society displays and lives cultural peculiarities that form its unique national or international personality.

Some countries, due to the pluralistic structure of their societies display multiple cultural characteristics as in the case of the US, Canada, Australia, and many others.

Each country enjoys a unique culture that differentiates it from others.

The Lebanese culture, if it still exists, is one of those exceptions, for being based on values by eighteen distinct religious groups and a multiplicity in ethnic background.

Throughout history, Lebanon has been partially subjected, although, to foreign invaders, conquers, and occupiers of all kinds who left certain scars or influence upon the Lebanon of today e.g... Ninety years have elapsed since its independence, yet the Lebanese society continues to exhibit certain cultural behaviors that Turkey itself had abandoned, such as the nobility titles, dresses, and food. The author distributed a questionnaire to fifty Lebanese university students, half males and half females to find out what their thoughts would be on Lebanese culture.

Samples of reaction by Lebanese university students

A mini sample of questions was asked to 50 Lebanese university students mixed from graduates and undergraduates. The results may be, a priory, disappointing to readers or uninteresting. The questions aimed at determining the level of awareness young Lebanese possess about the diaspora issue and the Lebanese culture. Five questions were selected and analyzed.

Is there a Lebanese culture, what is it, what does it mean to you?

What differentiates this culture from others?

Should cultural values be taught in the Lebanese educational system beginning with the first grade till graduation from the university?

Do you favor the return of Lebanese emigrants as carriers and promoters of foreign culture?

What do you expect from those returnees?

The answers to these questions are summarized without using graphs or mathematical statistical format.

Question 1:

Eighty percent of the respondents were unable to define "Lebanese culture". They simply declared that there was none to "brag about".

Twenty percent mentioned arak, tabbouleh, and plenty of vices such as greed, corruption, theft etc. Some insinuated that Lebanese culture is slowly becoming a global copy of others without peculiarities.

Question 2:

According to a minority of thirty percent amongst the respondents, the Lebanese culture before 1970 was based on family unity, strict moral standards, collectivism, transparency, integrity, and visible hospitality… now however, they added; it is based on power, violence, family disunity, and many vices not to be named…

Question 3:

Twenty five percent responded that some kinds of civic education are being taught in schools. The remaining seventy five percent expressed negative views about the entire educational system as miserably failing to contribute in laying the foundation for developing

Lebanese citizenship, national identity, and the building of an educated and civilized Lebanese citizen. Some even stated that the Lebanese identity is lost.

Question 4:

Fifty percent opted for silence, not knowing what to say. The other half expressed without enthusiasm support, claiming that the returnees might bring with them some improvements in the badly needed socio-economic and political system.

Most expressed strong skepticism about the effectiveness of the returnees in generating change, and added that they don't expect them to stay for too long in Lebanon amidst its highly corrupt setting.

Question 5:

The answers to this question displayed much discrepancy among the respondents. Some hoped that the returnees would promote new ideas and changes relating to human rights, education, public management and the national economy in general. Others were not as hopeful and optimistic; rather skeptical about the effectuation of any positive changes. They did however express a note of hope for an evasive improved future.

The objectives behind asking those five questions were to find out the level of awareness Lebanese future leaders do have about their country and the millions of emigrants who abandoned it.

Conclusion

This research attempted to shed light, in a transparent, objective and educated manner upon the Lebanese diaspora starting with the causes, the achievements, and future policies to establish and sustain a bridge between the country of origin and the diaspora. The stress was upon the re-emigrants possible roles and contributions, as well as the cultural imports they injected into their ancestral socio-political and economic environment. The author aimed, as a whole, to release and possibly free the Lebanese people from the old romantic, somewhat utopic dreams about the particular issue of emigrants. The study proposes to espouse more pragmatic means and ways in dealing with the Lebanese diaspora. Perhaps the moment of the truth and integrity has come. Consequently, the following steps are proposed to deal with emigration and the loss of Lebanese talents to foreign countries.

Restore the special Ministry to deal with emigrants and emigration. Furnish it with adequate electronic equipment and personnel to maintain accurate statistics and archiving.
Have this Ministry coordinate its efforts with the Ministry of Foreign Affairs to register all Lebanese living abroad, and reintroduce them to the culture of their ancestors.
Encourage wealthy emigrants to return and invest into vital economic projects in Lebanon, whether private or public, enjoying special facilities and tax reduction.

Encourage emigrants to import into their chosen countries of residence, Lebanese goods and produce.

Grant every qualifying emigrant the right to participate in local public elections at all levels, and be represented through a number of public seats. (The US is a good example)
Instead of giving Arab and non-Arab tourists, fifty percent discount on airlines tickets, hotels, and restaurants, it is more beneficial to grant those privileges to the Lebanese emigrants themselves, enticing them to visit their ancestral country.

Revise and restructure the educational curricula in schools and universities to include required courses on Lebanese culture, political system, and other general education subjects.
Most pressing is to modernize and decentralize Lebanon's socio-economic and political system, to reduce and even stop the Lebanese emigration of the youth and skilled labor.

The attraction for emigrants' return does not consist of natural wonders and skyscrapers; rather a culture of transparency and peace, whereby the reasons that drove them

to emigrate would stand no more. This means that, if they return, they would enjoy freedom, security, and peace.

Solicit the aid and support of foreign governments to collect and complete statistical data about the emigrants economic, cultural, scientific, political achievements and status abroad.

Encourage through a variety of programs an exchange of talents, skills and expertise in both the public and private sectors whereby both sides would benefit from each other.

Have the government of Lebanon reexamine and reconstruct its archaic system by taking full control of the Lebanese territories to include: internationally recognized borders, strict implementation of laws with no more exceptions, search for the right talents to employ, take full control of what is known as public property such as seashores, forests, mountains, lakes, rivers etc. to be developed for touristic attraction. It is important to stress the concept of administrative decentralization and electronic government even if this requires a change in the system to a federal one.

Effective partnership between the public and private sector to reorganize the economic sector, create more jobs with fair and equitable labor laws, under an independent and competent judicial process.

Secularize the laws and life of Lebanese by applying full separation between religion and politics.

These are few items from a long list of suggestions requiring urgent and immediate priority in handling matters related to the Lebanese diaspora. The focus ought to be upon first reducing or even preventing future emigration by eliminating the causes; second, devising a clear, effective and reasonable strategy to efficiently liaise between the resident and emigrant Lebanon.

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A CONFLICT OF COLONIAL CULTURES IN THE EDUCATIONAL SUB-SYSTEMS IN AFRICA: CELEBRATING FIFTY YEARS OF POLITICAL AND NOT EDUCATIONAL SOVEREIGNTY IN CAMEROON

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Abstract

This paper sets out to study the conflict of colonial cultures in the educational system in Cameroon. The problem identified in this conflict is the absence of an common vision in the provision of educational values for citizens in the same country. Lack of a common vision provokes problems of equity and quality education. The argument advanced here is that colonial cultures are principal determinants of the educational values in Cameroon. This position is expressed as educational alienation. Harmonization of the educational sub-systems is proposed as a possible means through promoting a culture that is typically Cameroon within the framework of her diversity of cultures. To attain this objective, this paper employs a mixed method of research. The quantitative and qualitative methods are used to prove the hypothesis that some problems of education in Cameroon could be traced in the conflict of colonial cultures. This problem is explained in Dewey's democratic conception of education as educational alienation. The multicultural theory of education rejects the prominence of colonial cultures to the relative neglect of indigenous cultures in Cameroonian school system (Bank1994). With this theory, educational sovereignty is still to be realized in Cameroon. Therefore, after fifty years of political independence, one is still to think of education sovereignty in Cameroon. Harmonization of the educational sub-systems offords a possible perspective. This objective has to be taken with a multicultural rather than a bicultural overtone. This is to maintain the Cameroon reality of unity in diversity. This vision strengthens the politics of unity and national integration.

Keywords: Colonial Culture, Educational sub-systems, Educational sovereignty, Harmonization

Introduction

The history of Africa presents numerous interventions from European powers and these play a great role in the diversity of most African countries.Cameroon is one of the African countries with diversity of cultures, both colonial and indigenous. The first contact between Cameroon and the Europeans was in the fifteenth century. These Europeans were Portuguese traders and missionaries who established bases along the coastal land (Fonlon, 1969:29 in Fonkeng, 2007:14). The initial name given to Cameroon at the time was "Rio dos Cameroes" a Portuguese equivalence for "river of prawns". The British later changed this name to the Cameroons. When Germany later annexed Cameroon, the German version of the name became Kamerun. This also explains the French appellation "Cameroun" which came when the French took over from the Germans.

Cameroon fell under colonial rule in the second half of the nineteenth century during the scramble for Africa. At this time, the Germans governed Cameroon. This is precisely from the period of 1884 until the end of World War I when Germany lost the war in Europe. As a

result, the allied powers took control of German territories by employing the Mandate system. This system is derived from the tradition of the Roman Empire "Mandatum". The principle of the Roman law Mandatum applied that someone, a mandarius (agent), could administer a territory on behalf of the owner, the Mandatum (Fonkeng, 2007:16). To this effect, the colony of Germany, Kamerun was recognised as a possession of the League of Nations. Cameroon became known as a mandated territory administered by France and Britain on behalf of the League of Nations.

The consequence of this mandatory system was the formation of an Anglo-French condominium. Cameroon was therefore divided into two: that is, between the French and the British in 1918. The partition of the territory gave France control of more than two thirds of the territory. Britain acquired a small piece of the territory. The League of Nations supervised the administration of Cameroon through the permanent Mandates Commission. This League of Nations' Mandate was later terminated in 1945 and replaced after the Second World War by the Trusteeship Council of the United Nations Organisation. As a result, Cameroon became a Trust territory of the United Nations Organisation still under the control of the British and the French administration.

On January 1st 1960, French-speaking Cameroon declared their independence from the French administered United Nation's Trusteeship. French Cameroon was known as La Republique du Cameroun. British Cameroon became independent of the British supervised United Nation's Trusteeship in October 1961. This part was known as West Cameroon. This led to the emergence of a Federal Republic of Cameroon. North Cameroon, the Northern British part became part of Nigeria at independence. Southern Cameroon, the English South Western highlands area chose to follow the separate course of development in French speaking regions. A decade later, on 20th May 1972, the Federal Republic was transformed into the United Republic of Cameroon. In 1984, the United Republic of Cameroon became known as the Republic of Cameroon.

In a nutshell, a historical survey of Cameroon reveals that foreign influences have played a big role in the history of Cameroon. This is evident from the League of Nations to the United Nations Organization in the former French and British Cameroons as mandated and Trusteeship territories. These events enhanced the emergence of Cameroon as the first bilingual nation in Black Africa. Today, Cameroon has ten administrative regions comprising eight Francophone regions: Far North, North, Adamawa, Centre, Littoral, Western, Eastern and Southern and two Anglophone regions in the Northwest and the Southwest. Appointed governors in addition to the Divisional and Sub-divisional officers administer these regions. Executive powers are conferred on the President of the Republic. The bicultural nature of Cameroon is rooted in colonial influence. Therefore, knowledge of the history of Cameroon constitutes the explanation of the conflict of colonial cultures in the educational system of Cameroon.

Another important aspect in educational development is that elementary education in Cameroon was initially in the hands of Christian missionaries during the colonial era. It was in the 1930s that secondary schools began to develop alongside government interests in educational matters. In 1960, education became less plutocratic and, thus, became meritocratic. The state was fully involved in the provision of schools and accepted private venture in education. For this reason, Cameroon has experienced an increase in educational facilities. There is a link up from primary to secondary school and the provision of university education for all qualified candidates. The distribution of educational opportunities in the Cameroonian system has greatly reduced social divisions. Education has become the basis for excellence, self-improvement, social mobilization and development (Fonkeng, 2007: 18-20). Basic data reveals that the population of Cameroon has increased from about 16 million in 2004 to 20, 000,000 inhabitants in 2014.

This main objective of this paper is to investigate whether the conflict of the two colonial cultures is responsible for lack of harmonisation in the educational sub-systems in Cameroon. There is a co-existence of two cultures of colonial heritage. These two cultures represent the two sub-systems of education. Each sub-system is said to cling jealously to the values of its colonial culture for fear of assimilation. Our study seeks to know whether fear of assimilation explains failure to introduce the objective of harmonization in the educational system in Cameroon.

To study whether fear of the majority French culture is responsible for lack of harmonization.

To inquire whether pride of values of the curricula in the school sub-systems impede the process of harmonization.

To examine whether lack of harmonization can be attributed to colonial bodies promoting colonial interests like the Francophonie and the Commonwealth.

Research Questions

The main research question: How far does conflict in the two cultures of colonial heritage prevent the process of harmonization? It is articulated into three different questions.
Is the fear of the culture of the French majority responsible for lack of agreement on harmonization?

Does the pride of values in the curricula of the two sub-systems prevent harmonization?

Can lack of harmonization be attributed to colonial interests of the Francophonie and the Commonwealth?
Hypotheses

The conflict of cultures in Cameroon probably gives reasons for lack of harmonization in the educational sub-systems. There are two cultures of colonial heritage that co-exist in Cameroon. These include; the English and the French cultures. Each culture jealously guards and preserves the values of its own system of education without compromising to the other.

The culture of the majority French is probably responsible for lack of harmonization.

Perhaps pride of values in the curricula of the school sub-systems prevents harmonization.
Maybe, the presence of colonial bodies aimed at promoting colonial interests compromise the objective of harmonization in the educational system in Cameroon.

Methodology of the study

The division of the scope is in two parts; viz, content and geographical delimitations. There are different categories gotten through purposive sampling. University lecturers, Teachers, pedagogic inspectors, student teachers and some students will provide responses to our questionnaire. Some of them were sampled for focus group discussions and interviews.

We shall limit the problem of curricular organization in the secondary school context. We consider the curricula for both grammar and technical institutions in order to diagnose the problems underlying lack of harmonization in the sub-systems of secondary education in Cameroon. This paper covers two different regions in Cameroon. In order to justify the problems arising from lack of harmonization in the two sub-systems of education, studies in both French and English speaking regions in Cameroon are imperative. The study falls within the context of curriculum studies with a strong bias in philosophy of education. The problem of harmonization is apparently a political issue. This paper limits itself within Dewey's pedagogy of interest in democratic education and the of multiculturalism. This theory explains the problem of equity and quality education in the educational achievements of Cameroonian students.

Besides, two approaches of research are used in this study. These include; the quantitative and qualitative methods of research. The reason for these two methods lies in the fact that the weaknesses of one approach should be complemented by the strength of the other. For this quantitative method, the questionnaire was my research instrument. For qualitative approach, I used interviews and focus group discussions to collect data. I carried a pilot test to test the validity of my main research instrument, the questionnaire. The pilot test proved that the instrument was reliable. This test also helped the candidate to modify some of the questions to avoid ambiguity.

The sample regions for collection of data included the Centre and North-West regions. The target population included teachers, students and student teachers in secondary schools and Higher Teacher Training Colleges for both general and technical. Having collected the data, I analyzed this data using the Statistical Package for Social Sciences 17 programme. The data was analyzed based on the three hypotheses. I also tested his hypotheses using the Chi square, precisely the Pearson Chi square test. This test sought the correlation between each hypotheses and lack of harmonization in the curricula of the two sub-systems. The results of the test proved the following points; The null hypotheses were rejected at two levels which stated that there the conflict of cultures, fear of assimilation, pride of values in distinct curricula and colonial cultural interests are independent. On the other hand, we obtained the results that there is a strong relation between harmonization and these hypotheses.

The Problem of Lack of Harmonization

The co-existence of two educational sub-systems inherited from the colonial masters present interesting phenomena worth studying. There have been efforts in harmonizing the two sub-systems at the level of basic education. These efforts are far from being realised in secondary education. Here, both sub-systems function autonomously. This has given rise to what can be termed "academic exodus". More and more French speaking Cameroonians prefer giving the Anglo-Saxon educational orientation to their children from basic education to secondary and even higher education.

Generally, English speaking Cameroonians do not reciprocate the "academic exodus" experienced from the French sub-system to the English sub-system. Part of the explanation given lies in the question of values in education. There is, therefore, a discernable dialectic of values.   There are two sub-systems providing different values. Each sub-system jealously clings to its own values finding it difficult to compromise. What is interesting to note is that there is something to benefit from both sub-systems. The English sub-system is noted for good moral and intellectual values that `enhance the child's appropriate integration into the community. On the other hand, most products from the French sub-system continuously expresses brilliant intellectual values in subjects like Mathematics and Physics. This becomes imperative to study the merits of harmonising the curricula of the two sub-systems for the educational development of Cameroon. This study has to lead us to determine whether all aspects of education have to be harmonized or whether there are some pertinent aspects that require harmonization. This study also has to determine the processes and what it takes to harmonize two sub-systems of education in the context of dialectical cultures.

Moreover, there are discrepancies in the examination bodies that manage public exams in Cameroon. While the English-speaking students are writing the General Certificate of Education Examinations, (GCE Ordinary and Advanced Levels), the French-speaking students are writing the Brevet d'Etudes du Premier Cycle, (BEPC), Probatoire and Baccalaureate examinations. These two bodies entail a great financial expenditure of the country's resources without commendable outcome. This paper sets out to pursue the need for harmonization and to ascertain what has to be harmonized. The country needs a harmonized and standardized system but the officials as well as educational stakeholders in the country do

not seem to agree on what should be retained or dropped in the process of achieving a system with sub-systems. It is, therefore, imperative for this paper to take the challenge and set the pace to ensure educational development in a country where problems of equity and quality education are identified.

In technical education, the French sub-system is dominant leading to many school dropouts in the English speaking part of Cameroon. Though there are recent reforms where the English-speaking students write the technical GCE Examinations, there are still problems of quality and equity in the management of secondary technical education in Cameroon. With regard to technical education, English speaking Cameroonians pursue a French-curricular system of education. Technical education is oriented towards the French sub-system and this is accountable for the host of problems faced by Anglophone students. In other words, very little efforts are made to encourage and give an Anglo-saxon orientation to this form of education especially in the English speaking part of the Country. In this case, Anglophone speaking Cameroonians feel marginalized as far as technical education is concerned (Interviews with students of Higher Technical Teacher Training College, (HTTTC), Bambili & Government Technical High School, (GTHS), Bamenda 2/05/2013).

Besides, education stands as a quintessence of life because it permits the individual to appropriately adapt to his environment. The school is an agency whose organization aims at helping the child to live in an enabling atmosphere according to his desires, needs, aptitudes and capacities (Dewey 1966 :34). The child has to live a reflective and critical life based on the school set up. This approach imposes an obligation on educators with regard to the proper environment for learning. With the conception of the school as a microcosm of society, it is necessary to portray its new character, which is different from that of the traditional four-walled-classroom. It is an embodiment of the child's experiences, family and religious environments, play, leisure and other social amenities of life. Therefore, Dewey's pedagogy of interest serves as a panacea to school environments that fail to promote interest in schooling and reduce the high rate of school dropouts. This brings into limelight the organization and the management of school resources like the curriculum in order to enhance the growth of the learners as well as the growth of the nation. A challenge to radically revolutionize the present curricula towards quality and equity in the educational systems is required. The pedagogy of interest in democratic education serves as a means of resolving the educational questions arising from the dialectic of values in the two sub-systems in Cameroon.

Presentation of findings

The hypotheses indicate that conflict of colonial cultures in Cameroon is an obstacle to the process of harmonization. Below, there are cultural considerations like fear of cultural assimilation by each sub-sub-system, pride of values in the curricula of the school sub-systems and the colonial cultural interests as problems responsible for lack of harmonization in the two sub-systems of education in Cameroon.

Mutual Fear of Assimilation as An Obstacle to Harmonization

Table 1: Distribution of the opinions of respondents on the fears of assimilation by one sub-systems

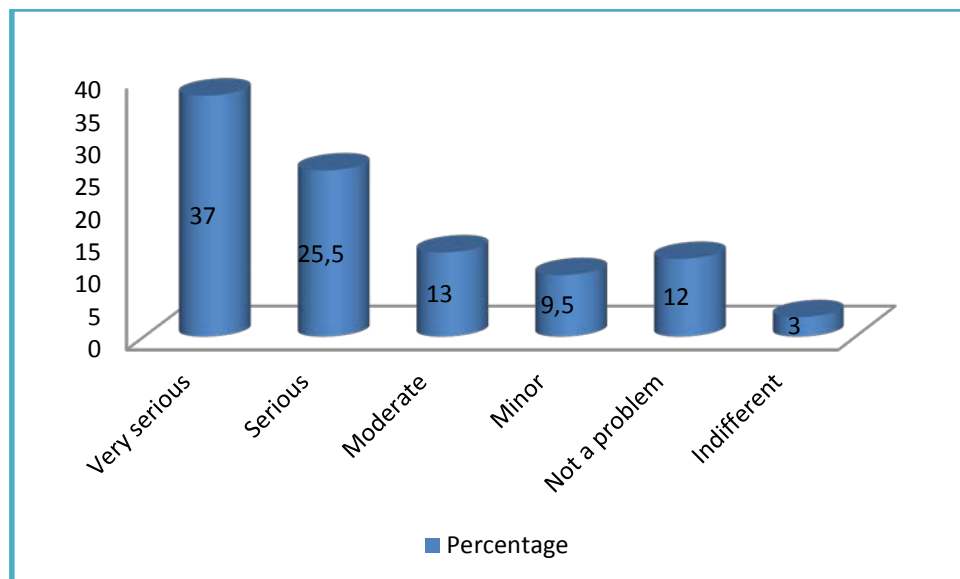|	Very serious	Serious	Moderate	Minor	Not a problem	Indifferent	Total
Numbers	148	102	52	38	48	12	400
Percentage	37,0	25,5	13,0	9,5	12,0	3,0	100

Figure 1: Percentage distribution of the opinions of respondents on the fears of assimilation by each sub-system

   Another argument advanced by teachers in the English sub-system of education against harmonization is that the policy of harmonization is a means to cultural assimilation. From the history and evolution of education in Cameroon, some examples have been used to justify this position. The first example is that the English sub-system had eight years of primary education. Initially, it was reduced to seven years and presently it has been reduced to six years to agree with the years of primary education in the French sub-system. He rejects the need for harmonization at all cost. For him, the present situation is gradually instilling what he describes as « a culture of doing everything in a rush ». This is an attitude he identifies in the French sub-system of education. In this case, he blames the falling standards on the 'rush syndrome' that has encroached in the educational circle. A typical example is the tendency to write the GCE Ordinary Level in Form Four and the GCE Advanced Level in lower sixth. This is a serious academic virus that has infected most parents and students especially in the capital city. The pedagogic inspector for French language contended that most of the examples he can cite are children from the Francophone backgrounds who pursue the English sub-system of education. He went further to indicate that the interest of these parents and students is to succeed in the final exams and proceed to the next step. This is done irrespective of the acquisition of the basic achievement level required in every stage of education. The process of reasoning here is narrowed to success in examinations as if examinations tell the whole story about education.

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   From the arguments and examples postulated by the teachers especially the pedagogic inspector for teaching French language in the English sub-system of education, it is therefore acceptable to observe that cultural considerations are serious barriers to the educational objective of harmonization. This affirms the first hypothesis where it is stated that Cameroonians of each culture jealously clings to the values of their sub-system of education without compromise. The argument here is not the percentage of persons who argue as such but the reality of the barrier in question. If one argues in terms of the percentage in this case, one's argument will be susceptible to the misleading reasoning of argumentum ad numerum or ad populum (Copi, 1998; Hurley, 2000). By this reasoning, one limits the truth of an

assertion to the greater number of people who support the view. Truth is one and does not depend on the democratic principle of the majority will. Therefore, some English-speaking Cameroonians acknowledge lack of harmonization in the educational sub-systems in Cameroon, but do not see the need to materialise the objective as a solution to problems of education. One of the major reasons given is cultural differences. The fear expressed by most of them arises from the tendency in the French colonial policy of assimilation.   This fear is coupled with the fact that the French-speaking Cameroonians constitute the greater population in the country.

Table 1 above presents opinions on the fear of assimilation of one sub-system by another. For the responses to this question, out of the four hundred copies of the questionnaire analyzed, 148 respondents say it is a very serious issue. This refers to 37% of the respondents. Also, 102 respondents say that it is a serious matter and this leads to 25% score. Moreover, 52 respondents observe that the situation is moderate. This indicates 13% score. In addition, 38 of them hold that it is a minor problem. Here, we have the score of 9.5%. Besides, 48 respondents maintain that it is not a problem registering the score of 12%. Lastly, 12 respondents did not answer this question giving 3%.

From the responses, it is plausible to affirm that cultural considerations are an impediment to the process of harmonization. This opinion is confirmed in the data analysed and the number of responses that testify this opinion. This observation is reinforced in the focus group discussions conducted both in Yaounde and Bamenda. From the discussions, most Anglophones argue that the policy of harmonization is a means of deception towards assimilation. This opinion is backed up by a national pedagogic inspector for teaching French to the Anglophones. The arguments advanced by most of the teachers are that the English sub-system is outstanding and attractive in the world. In this case, harmonization, which is disguised assimilation, is simply a means to destroy the English sub-system of education. To justify the fear of assimilation, some teachers argue that recent reforms to merge the science subjects (integration in curriculum organization) and generally consider it as sciences as in the French sub-system should be rejected by the English sub-system. Some of the teachers in GBHS Mendong and Essos argue that the competency-based approach is a subtle attempt to destroy the English sub-system of Education. The greater percentage in this response testifies the fact that, fear of assimilation is a major barrier to harmonization. They argue that the political system is gradually making the GCE board to function like the Baccalaureate Office and write examinations at the same time. Everything is done in a rush. Consequently, for the Francophones, harmonization simply means assimilation and to make the Anglophone sub-system function like the French sub-system.

The 9.5% and the 12% responses that hold it is a minor and not a problem respectively, is probably from most of the French-speaking Cameroonians. From the group discussions with some teachers from the Francophone sub-system in Bamenda, most of them maintained that harmonization of the two sub-systems in Cameroon is an absolute necessity. Most of them identified problems in both sub-systems that could easily be resolved with the process of harmonization. In this line of thought, they did not perceive harmonization as a disguised form of assimilation. Some of them observed that assimilation is an unjustified fear and that there is a need to sensitize teachers, students and parents in order to achieve this objective.

Pride of Values in the Two Sub-systems as Impediment to Harmonization

Table 2: Distribution of the opinions of respondents on pride of values in the curricula values of the two sub-systems

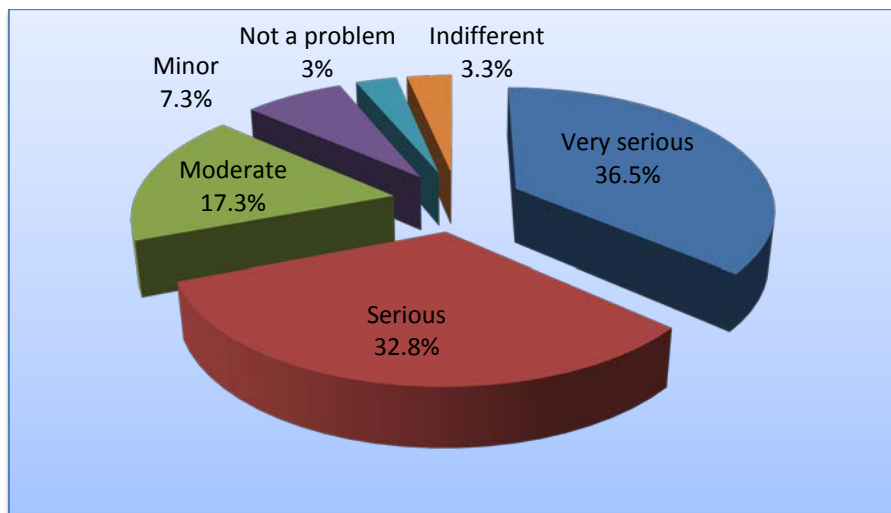|	Very serious	Serious	Moderat	Minor	Not a problem	Indifferent	Total
Numbers	146	131	69	29	12	13	400
Percentage	36,5	32,8	17,3	7,3	3,0	3,3	100

Figure 13: Percentage distribution of the opinions of respondents on the pride of values in the curricula in the two sub-systems.

Table 2 and Figure 2 present the distribution of the opinions of respondents on differences in curricular values of the two sub-systems. 146 respondents (corresponding 36.5%, as indicated in figure 13) out of 400 perceive the differences in the curricular values of the two sub-systems is a very serious problem that hinders the harmonization of the two sub systems of education in Cameroon. Again, 131 (corresponding 32.8%) indicate that differences in the values of the curricula of the two sub-systems is a serious problem impairing the harmonization of the two sub-systems. 17.3% view it as a moderate problem, 7.3% perceive it as a minor problem, and only 3% consider it as no problem. 3.3% chose to sit on the fence on this issue.

From these observations, it is evident that the differences in the values of the two curricula of the two sub-systems is a shared problem that hinder the harmonization of the French and English sub-systems of education in Cameroon. This is justified because only 3% viewed it as no problem compared to 97% who viewed it an issue that matters. From focus group discussions with teachers in Yaounde and Bamenda, it could be inferred that the 3% that did not consider this to be a serious issue are some secondary school teachers in the English-speaking sub-system. They present skeptical and cynical attitudes towards the problem. Some English-speaking inspectors argue that the process of harmonization is a means to destroy the values of the English sub-system of education. The justification given to this thesis is drawn from technical education, which basically has an orientation of the French sub-system of education. The problems here include; poor performance of Anglophones in this area of education and the numerous school dropouts justified in methods of teaching and processes of evaluation (Discussions with teachers and students from Government Technical High School Bamenda, 14/05/2013).

Cultural Interests of Two Colonial Masters

Table 3: Distribution of the opinions of respondents on the cultural interests of two colonial masters

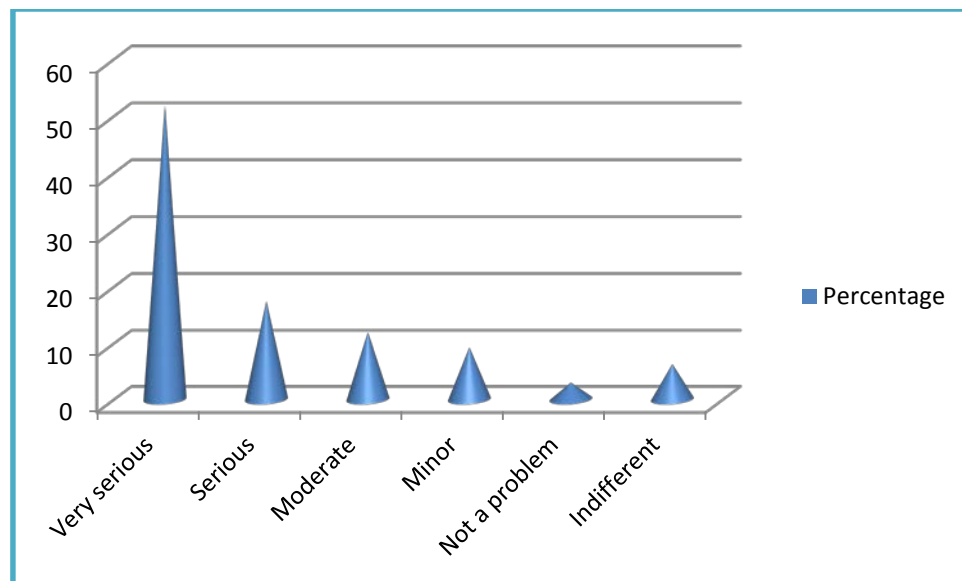|	Very serious	Serious	Moderate	Minor	Not a problem	Indifferent	Total
Numbers	208	70	48	37	12	25	400
Percentage	52,0	17,5	12,0	9,3	3,0	6,3	100

Figure 3: Percentage distribution of the opinions of respondents on the cultural interests of two colonial masters

Table 3 presents an overview of the opinions on how colonial cultural heritage influences the organization of the curriculum. Cultural interests of the two colonial masters Britain and France are seen to be a major obstacle to the harmonization of the curricula in the two sub-systems in Cameroon. From the opinions gathered, 208 responses hold that it is a very serious problem. This is 52% responses. 70 responses consider it as serious giving 17.5%. Also, 48 responses say it is a moderate problem and this gives us 12%. Further, 37 responses consider it as a minor problem and 12 responses say it is not a problem. This gives 9.3% and 3% respectively. 25 responses were indifferent by not giving any opinion. This registers 6.3%.

The results of these responses confirm the fact that cultural interests of the colonial masters hinder the process of harmonization in the organization of the curricula in Cameroon. The 52% responses probably refer to the fact that each sub-system jealously clings to its values refusing to compromise to the other. While the English sub-system celebrates the values of the commonwealth, the French sub-system is there to preserve the values of the Francophonie. Here, one finds a correlation between the colonial cultural heritage and the organization of the curriculum. This condition serves as a major obstacle to the process of harmonization.

On the other hand, there are some opinions which say that it is a minor issue or not a problem. These opinions arise from persons who do not think that colonial interests should interfere into the management of the affairs of Cameroon. These persons could be described as exaggerated optimists who think that Cameroon enjoy absolute sovereignty in the socio-political affairs of the country. In this case, they probably think that the process of harmonization is possible because Cameroonians are required to shape their destiny.

Some of the teachers in Government Bilingual High School Mendong and Essos argue that the competency-based approach is a subtle attempt to destroy the English sub-system of Education. The greater percentage in this response testifies the fact that, fear of assimilation is a major barrier to harmonization. They argue that the political system is gradually making the GCE board to function like the Baccalaureate Office and write examinations at the same time.

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The 9.5% and the 12% responses that hold it is a minor and not a problem respectively, is probably from most of the French-speaking Cameroonians. From the group discussions with some teachers from the Francophone sub-system in Bamenda, most of them maintained that harmonization of the two sub-systems in Cameroon is an absolute necessity. Most of them identified problems in both sub-systems that could easily be resolved with the policy of harmonization. In this line of thought, they did not perceive harmonization as a disguised form of assimilation. Some of them observed that assimilation is an unjustified fear and that there is a need to sensitize teachers, students and parents in order to achieve this objective.

Test of hypotheses

This sub-section tests the three hypotheses that this paper proposes. These hypotheses include; fear of assimilation, pride of values in the distinct cultures and colonial interests as explanations to lack of harmonization in the educational sub-systems in Cameroon. Owing to the fact that this is a correlational study, this tests aims at determining the relationship between each hypotheses and the problem, which is lack of harmonization.

Conflict of Cultures and Lack of Harmonization

This sub-section examines the relationship between two aspects of the hypotheses. These two aspects include; fear of domination from the culture of the majority and pride of values in the distinct curricula of the sub-systems as cultural aspects influencing harmonization of the two sub-systems of education in Cameroon.

Table 4: Association between Harmonization and Fear of domination from the Majority French

Fear of domination from the majority French will exist * harmonization exists in all aspects of education Cross tabulation

Count

		harmonization exists in all aspects of education				
		strongly agree	agree	disagree	strongly disagree	Total
fear of domination from the majority French will exist	High	44	20	36	85	185
	important	11	18	32	54	115
	average	5	11	8	0	24
	Low	5	0	8	4	17
	little or no	15	0	10	20	45
Total		80	49	94	163	386

Our Chi Square probability here is 0.000, which is less than 1%. This rejects the null hypothesis that fear of domination from the majority French and harmonization of the two sub-systems are independent. This is clear indication that the fear of domination from the majority French hinders the harmonization of the two sub-systems of education in Cameroon.

Chi-Square Tests			
	Value	Df	Asymp. Sig. (2-sided)
Pearson Chi-Square	61,435[a]	12	,000
Likelihood Ratio	71,564	12	,000
Linear-by-Linear Association	1,635	1	,201
N of Valid Cases	386		

a.5 cells (25,0%) have expected count less than 5. The minimum expected count is 2,16.

Table 5: Association between harmonization and pride of values in the distinct sub-systems

Pride of values in the distinct curricula exists * harmonization exists in all aspects of education
Cross tabulation

Count

		harmonization exists in all aspects of education				
		strongly agree	agree	disagree	strongly disagree	Total
pride of values in the distinct curricula exists	High	31	10	34	87	162
	important	19	23	20	41	103
	Average	0	5	16	32	53
	Low	21	10	19	5	55
	little or no	7	0	5	0	12
Total		78	48	94	165	385

Chi-Square Tests			
	Value	Df	Asymp. Sig. (2-sided)
Pearson Chi-Square	79,397[a]	12	,000
Likelihood Ratio	97,333	12	,000
Linear-by-Linear Association	19,756	1	,000
N of Valid Cases	385		

a. 3 cells (15,0%) have expected count less than 5. The minimum expected count is 1,50.

We have a Chi Square probability of 0.000, which is less than 0.01 (1%). This rejects the null hypothesis that harmonization of the two sub-systems and the pride of values in the distinct sub-systems are independent. Thus pride of values in the distinct sub-systems is strongly associated with lack of harmonization in the two sub-systems of education of Cameroon. The argument is that each culture jealously clings to the values of its sub-system. None is ready to compromise. Consequently, this pride prevents the process of harmonization. From the two aspects of the hypotheses tested above, it can be argued that there is a correlation between the conflict of cultures of colonial heritage in Cameroon and harmonization.   The reality of this conflict minimizes the possibility of this process in the educational system. Therefore, the results of the data confirm the hypothesis that the conflict of two cultures in Cameroon gives reason for lack of harmonization in the two sub-systems of education in Cameroon.

Interpretations and Discussions

Democratic conception of education in Dewey's terms requires aspects of equity and quality education. The exigencies of equity in education refer to fairness and equal access to opportunities (Nelson et al. 2006). Fairness here must be understood in Rawls' context where the principle of difference is binding in the execution of justice. Here, the vulnerable groups

or the minorities are favoured in order to enhance their progress and well–being (Rawls 1999). This situation is antithetical to "might is right "ethics or "survival of the fittest "conditions of life. In the application of Rawls' principle of difference, democratic education enhances the needs, interest, preferences, desires and aptitudes of the vulnerable or weak students in order to ensure their participation and integration in the life of the community. It is fairness or equity that ensures quality education in a democratic or multicultural context (Parker 2003). Therefore, the discrepancies and problems expressed in the curricula of the two sub-systems of education betray the absence of equity and consequently quality education.

Besides, these problems extend to other aspects in the management of the curricula of the two sub-systems of education in Cameroon. One identifies problems in different examinations and evaluation procedures and those associated with human resource personnel. The problem of equity was discernable in the distribution of human resources in the two sub-systems of education. What could be interpreted is that the two sub-systems of education do not have the same status. The English sub-system is the underdog as far as the provision of teachers in both general and technical secondary schools is concerned. These problems provoke other associated shortcomings in the provision of equity and quality education to Cameroonian citizens. For example, the "cult of excellence" and certificates have reduced schooling to the "incubus of examinations" (Scheffler 1980). Teachers teach what is tested and students learn what enhance success in examination. This desire also degenerates into buying and selling of examination questions, marks and certificates in public examinations.

Further, technical education in Cameroon is presented as an example of assimilation in education. The French orientation of technical education and its associated pedagogic problems betray the absence of equity and quality education in Cameroon. This form of education and the exigencies of its public exams provoke high school dropouts thus rendering technical education unpopular to many English speaking Cameroonians. This problem is traced in the political will, which favours the culture of the majority French. The examples above serve as strong reasons for Anglophones to express fear in the policy of harmonization.

In an attempt to justify the policy of harmonization, it was imperative to refer to the different philosophies that promote the spirit of unity. Harmonization is a veritable problem that requires redress. To justify this problem, it is important to explain the appropriateness of this policy to the educational system in Cameroon. These include; an easy adaptation of schools to the demands of the changing society, the promotion of team work and dialogue between the two sub-systems of education. This ensures quality teaching in a multicultural environment, either in the general or the technical sector. This approach stands as a better chance to ensure fairness in curricular organization, the conservation of cultural patrimony (Mvesso 2005), resolution of the problems of equity and enhancement of education to good citizenship. Finally, with the merits of harmonization, mobility of students from schools in one sub-system to another within the country has little problems. Parents move from one part of the country to another without fear of quality education for their children.

Conclusion and Recommendations

Educational values in this context refer to the outcome of the harmonization process. The synthesis of values from the two sub-systems of education produces a set of educational values unique to Cameroon. One of the problems discussed is that the different values in the two sub-system of education reflect the values of colonial heritage. The French sub-system reflects the values of the French and the English sub-system reflects the values of the British. These two colonial values are responsible for the problems of equity and quality education in Cameroon.

Owing to these problems, it is recommendable to establish educational values that reflect the needs, desires, preferences and experiences of Cameroon (Dewey 1966). Cameroon

needs an autonomous secondary education curriculum reflecting the interests of Cameroonians (Nyerere 1973). Interest here refers to Dewey's intuition, which holds that the organization and management of the curriculum should be based on the needs and experiences of learners. Therese Tchombe observes that in Africa and more precisely in Cameroon, reforms in education seem to lose sight of their history and cultural heritage. This is in conformity with the colonial education policies that ignored and marginalized African cultural heritage, pedagogical practices, including indigenous psychology in traditional education (2009). Colonial masters promote values in education like assimilation, domination, economic and human exploitation. The urgency to deliver the Cameroonian education system from colonial claws is visible. It should be unique, autonomous and independent by asserting the sovereignty of Cameroon (Nyerere 1973). At the moment, one perceives mental colonization in education. Therefore, values proper to Cameroon are imperative. How is this possible?

Harmonization is a proper means of defining the destiny of Cameroon educational system. The establishment of values proper to the interest of Cameroon does not mean a total rejection of all the colonial educational values. This is narrow-mindedness and superficiality. Colonialism is part of the Cameroonian heritage. Nkrumah observes that "a goat does not eat all the grass it sees" (Nkrumah, 1970). This is indicative of the fact that there is something valuable in colonial heritage. These values that enhance educational development of Cameroon are commendable and should be preserved. However, these values have to be laid on the people's culture. Ebenezer Njoh mouelle argues that one's education has to be rooted in one's culture before he appropriately dialogues with other cultures (1972). If this approach is not maintained, cultural dialogue may degenerate into assimilation, imperialism and neocolonialism.

The international bodies have to support, oversee and encourage all procedures and processes that lead to the establishment of a curriculum proper to Cameroon. The means to do this is the promotion of research and other means of sensitizing Cameroonians on the policy of harmonization. It is therefore imperative for Cameroonian researchers, educational stakeholders, politicians and philosophers to think of better ways of developing a democratic culture in Cameroon schools (Fonkoua et al. 2007).

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FACTORS INFLUENCING WORK ATTITUDE AMONG 'Y' GENERATION (A CASE OF AFRICA NAZARENE UNIVERSITY)

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Abstract

There are three generations active in the work force today that include Baby Boomers (born before 1950), Generation X (born between 1950s and 1980s) and Generation Y (born in the late 1980s to 2000). These generations show different attitudes towards work. The purpose of this study was to determine factors influencing work attitudes among generation Y. The specific objectives of the study were to identify variables that affect generation Y attitude towards work and decompose the identified variables into factors that can be subjected to further analysis. Data was collected using questionnaires from part time students in Africa Nazarene University. Factor analysis was carried out using SPSS version 17 and the study identified eleven factors that express generation Y attitude towards work. These factors include: relationships, ambition, technology friendliness, self-assertiveness, instant orientation, autonomy among others.

Keywords: Generation Y, work attitude, employment.

Introduction and Background

Employing the so called generation Y is one of the great challenges that managers are facing in the twenty first century. This generation is completely different from other generations as far as work attitude and other social and economic behaviors are concerned. All over the world the workforce is dominated by the younger generation or the so called Y generation. Statistics from developed world indicated that this generation is not as populous as in the developing world. Kenya has a population of about forty million people out of which thirty million or two thirds constitute the young people (2009 Census). The work place is dominated by this group of people unlike in the developed world where older people dominate the work place.

Generation Y

Generation Y comprises of the people born in the 1980s and 1990s, although experts do not agree on when this era started (Alch, 2000). It is also known as the millennium generation (Barr, 2007). Most of them are in their late teens, twenties and early thirties. This generation is now entering or has already entered the workforce. Generation Y constitutes youths who have a different attitude towards work from the older generations. Work means something different to them than it did to their parents or grandparents. They do not like to work as hard as their parents but desire to enjoy good life. They do not live to work; they work to live (Barr, 2007). Generation Y attitudes towards work, doesn't mesh with the traditional, or the "9 to 5" schedule of work. It does not place much emphasis on how and

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when the work gets done, just that it gets done (Alch, 2000). Characteristics of the generation vary by region, depending on social and economic conditions. However, it is generally marked by an increased use and familiarity with communications, media, and digital technologies. In most parts of the world its upbringing was marked by an increase in a neoliberal approach to politics and economics (Barr, 2007). Teenagers and young adults - the so-called Generation Y have watched with horror as their parents worked up-to odd hours in their scramble for money and status. Today as this group goes out in search of jobs, they have different priorities from their parents. Their negotiations is not much about salaries but flexible working schedule, time to travel and a better work-life balance, a demand which employers must meet (Broadbridge et al, 2007).

Employment and Y generation

Hiring new young talents who are just out of college is a process that is challenging some already established practices of management which is changing today's corporate culture. With the onset of employing the Y Generation, companies are finding that they come with different attitudes and work habits that may need to be incorporated into the existing culture. There is a common response from global human resources departments in dealing with generation Y in that it is not unusual to hear the three "Ds" in their descriptions of this generation: difficult, demanding, and direct. It must be understood that, there are real issues that companies are now facing globally in trying to deal with this generation. In an attempt to discern why this group appears to be difficult, it has been concluded that Generation Y has a very different world view than preceding generations, a fact that cannot be overlooked (Broadbridge et al, 2007).

Work attitudes

Attitudes are expressions of inner feelings that reflect whether a person is favorably or unfavorably predisposed to some objects such as a brand, services, work etc. It's an outcome of psychological process that is not directly observable but must be inferred from what most people say or do. In work place context, attitudes are learned predisposition to behave in a consistently favorable or unfavorable way with respect to a given tasks and work in general. Mutoko, (2012) indicated that Generation Y employees have arrived at work place with a new attitude and are shaking things up. They seem to be ambitious, technologically savvy, hungry for success and impatient. They may be starting their working life at the bottom but this is not to say they'll accept rock-bottom salaries. By the time they graduate from universities, most of them already have professional qualifications under their belt. They walk in with high expectations of their jobs and employers. Modern conveniences like internet and computers are assumed to be a given right in work place. They focus on getting to the top in the shortest time possible. Expecting them to stay in the same job for twenty-five years with a pension as a reward is likely to provoke laughter. If not satisfied with a job they will move out fats. Generation Y has never known life without the Internet, cell phones, fax machines, voice mail, and chat-rooms. Weaned on technology, this generation would have no personal reference for a time before ATMs, VCRs, PCs, CDs, MTV, and MP3's. The Internet and export of American culture via TV shows, dress and music has resulted in some startling similarities in the way young people think and behave worldwide. They mistake the speed of the Internet for their own speed (Mutoko, 2012).

Employers need to seek greater understanding and more ideas relating to hiring and retaining generation Y. This is because it is evident that generation Y has a different attitude towards work from the previous generations. They are not motivated by the worries that bothered their parents and do not want to do the same thing their whole life but expect to change jobs as many times as possible. The new generation can be described as ambitious and

self-confident and are viewed by older people as **arrogant**. They have high **expectations** and **seek** new **challenges** and are not afraid to **raise questions** if something is unclear. They want everything and want it now thus require instant gratification. They crave for feedback and options and have been found to be self-centered possessing a short attention span and also restless. They are also lazy towards office schedules and have little respect for authority. They have very high rate of absenteeism, frequently reporting to work late and have high rate of changing jobs (Mutoko 2012).

A survey conducted by NAA (2006), shows that most Millennials in the 18-28 age group use instant messaging, text messaging, or email as their primary sources of communication.   Conflicts at work with this new generation have been reported and employers are already **experiencing** trouble and **tension** between older generation and the millennium generation. Occasionally there are clash of views as the Y generation do not want to be seen as young and inexperienced but think they can show others a few things when it comes to work. They crave for mentoring and want their managers to be engaged with them. From the above, it is evident that there is a problem that lies with the attitudes that Generation Y has towards employment and work. The purpose of this study is to identify and analyze factors that influence generation Y attitude towards work

Objectives of the Study

The main objective of this study was to identify factors that influence generation Y attitude towards work and employment and specifically the study sought to:
 Identify underlying factors affecting generation Y attitude towards work

Decompose the identified variables into meaningful factors that can be comprehended and subjected to further analysis

Methodology

A sample of fifty students was picked all from the evening program at Africa Nazarene University. The sample was quite representative of the evening students who work part-time and study as well. The target on evening student program was suitable for the study as it constitutes Y generation that is both a work force and students. Questionnaires were issued to target population to facilitate data collection.

Data analysis

The data collected was analyzed using factor analysis as the study main interest was to identify and classify those factors. The study targeted 50 respondents out of which 41 questionnaires were returned, completely filled representing response rate of 82% which is taken to be good response.

Identification of underlying factors affecting generation Y attitude towards work

The first objective of this study was to identify underlying factors affecting generation Y attitude towards work. From literature review thirty nine variables were identified. These variables were too many and could not be easily comprehended. A list of these variables is provided in table 1 below.

Table 1: List of variables affecting generation Y attitude to work and explanations

	Explanation of variables
var1.	They accesses information instantaneously
var2.	Completely different from their parents as far as work attitude is concerned
var3.	Generation y does not like work
var4.	Generation y does not live to work but works to live
var5.	Generation y increasingly uses modern media for communications in work place
var6.	Cares less about salaries but prefers more flexible working hours
var7.	This generation prefers balancing work and social life

var8.	Generation Y is difficult and demanding to deal with in work place
var9.	Its ambitious and hungry for success in career pursuit
var10.	Changes jobs within the shortest time possible
var11.	Craves for freedom and questions work methods
var12.	Seeks instant fulfillment in the work place
var13.	Has no respect for authority from their bosses
var14.	Generally lazy in completing their tasks
var15.	Craves for mentoring with in the work place
var16.	Always creates conflict in the work place with the other people
var17.	Highly receptive to new technologies
var18.	They do not want to be considered as young among colleagues at work
var19.	They do not want to be viewed as inexperienced in the work place
var20.	They believe that they deserve the position they want at work
var21.	They are looking for a new job with a new company at any given time
var22.	They have been described as a flexible to work related changes
var24.	They want to start at the top, or at least be climbing the corporate ladder by their sixth month on the job
var25.	Expect to relate with their employers as with their parents
var26.	They discriminate relationship with colleagues on basis of education qualifications
var27.	Base their respect for colleagues on the strength of their wallets
var28.	Loyalty to work is based on meaning attached to it
var29.	Conventional eight hours work-day is a challenge to them
var30.	They prefer to extend leave days
var31.	Generation Y does not like working on weekends
var32.	Always visiting social networks during working hours
var33.	They are the most technologically friendly generation in the current workforce
var34.	They freely communicate with their age mates at work place especially in coded language
var35.	They accesses information quickly at work place
var36.	Lacks total commitment to duty
var37	Absenteeism from work is a common trend among Y generation
var38	Generation Y fakes sickness as an excuse from work
var39	Rate this generation overall attitude towards work with (1) least favorable and (5)most favorable

Decomposition of variables into meaningful factors

The second objective of this study was to reduce the many variables of study into meaningful factors that can easily be subjected to further study and analysis. To accomplish this objective the respondent were asked to rate their agreement and disagreement with the identified variables on a scale of 1 to 5 where 1 stands for strongly disagree and 5 strongly agree. Using SPSS version 17 factors analysis was carried out using Principal components analysis approach.

In testing the goodness of the model, KMO and Bartlett's Test gave the results in table 2

Table 2 KMO and Bartlett's Test

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.406
Bartlett's Test of Sphericity	Approx. Chi-Square	791.562
	df	528
	Sig.	.000

The results of this analysis indicates chi-square statistic 791 with 528 df which is significant at 0.5. The value of KMO statistic (0.406) is relatively good as it comes close to 0.5, which is a statistically desirable value and a significance level of 0.0 indicate that model of decomposing the variables was appropriate for this study.

Table 3 Total Variance Explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings			Rotation Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	7.008	21.236	21.236	7.008	21.236	21.236	4.018	12.175	12.175
2	4.209	12.755	33.990	4.209	12.755	33.990	3.616	10.956	23.132
3	2.620	7.939	41.929	2.620	7.939	41.929	3.521	10.669	33.801
4	2.421	7.338	49.266	2.421	7.338	49.266	2.373	7.191	40.992
5	2.088	6.326	55.593	2.088	6.326	55.593	2.258	6.842	47.834
6	1.488	4.508	60.101	1.488	4.508	60.101	2.065	6.259	54.093
7	1.480	4.484	64.584	1.480	4.484	64.584	1.805	5.468	59.561
8	1.385	4.197	68.781	1.385	4.197	68.781	1.698	5.144	64.705
9	1.284	3.890	72.671	1.284	3.890	72.671	1.679	5.087	69.793
10	1.173	3.554	76.225	1.173	3.554	76.225	1.634	4.953	74.745
11	1.071	3.246	79.471	1.071	3.246	79.471	1.559	4.725	79.471
12	.929	2.816	82.286						

Table 4: Explanation of variables
Extraction Method: Principal Component Analysis.

variables	Factor 1	F.(loading)	Proportion	Name
VAR00013	Has no respect for authority from their bosses	.875		
VAR00014	Generally lazy in completing their tasks	.842		Evasive Relationships
VAR00027	Base their respect for colleagues on the strength of their wallets	.770	12.175%	
VAR00026	They discriminate relationship with colleagues on basis of education qualifications	.691		
VAR00016	Always creates conflict in the work place with the other people	.638		
	Factor 2			
VAR00032	Always visiting social networks during working hours	.746		Sly Conduct
VAR00009	Its ambitious and hungry for success in career pursuit	.714	10.956%	
VAR00034	They freely communicate with their age mates at work place especially in coded language	.686		
VAR00030	They prefer to extend leave days	.667		
VAR00019	They do not want to be viewed as inexperienced in the work place	.609		
	Factor 3			
VAR00021	They are looking for a new job with a new company at any given time	.879		Ambitious
VAR00024	They want to start at the top, or at least be climbing the corporate ladder by their sixth month on the job	.673	10.669%	
VAR00010	Changes jobs within the shortest time possible	.659		
VAR00033	Most technologically friendly generation in the current workforce	.637		
VAR00008	Generation Y is difficult and demanding to deal with in work place	.599		
	Factor 4			
VAR00005	They accesses information instantaneously	.833		Technology friendly
VAR00001	Generation y uses modern media for communications in work place	.739	7.191%	
	Factor 5			
VAR00011	Craves for freedom and questions work methods	.815		Autonomy
VAR00004	Generation y does not live to work but works to live	.687	6.842%	
	Factor 6			
VAR00018	They do not want to be considered as young among colleagues at work	.844		Self-assertive
VAR00025	Expect to relate with their employers as with their parents	.633	6.259%	
VAR00002	Completely different from their parents as far as work attitude is concerned	-.573		
	Factor 7			
VAR00012	Seeks instant fulfillment in the work place	.877		Instant oriented
VAR00020	They believe that they deserve the position they want at work	-.560	5.468%	
VAR00017	Highly receptive to new technologies	.518		
	Factor 8			

Using Eigen values of loadings greater than 1, 11 factors were successfully extracted. These factors explained 79.471% of the total variance in the entire matrix. The variables were rotated to distribute their weightings as shown in the table 3 above. The model captured a very high proportion of variables (80%) that explained the generation Y attitude to work.

Identification of factors

The eleven factors extracted constituted various variables and required to be defined. these factors were defined to capture the expression from the variables constituting each factor as presented in table 4 below.

Discussion, conclusion and recommendations

The main objective of this study was to identify and decompose factors that affect generation Y attitude towards work. Factor analysis was conducted on the explanatory variables with the primary goal of data reduction. The principal components analysis method, using Varimax rotation, reduced 39 explanatory variables to eleven (11) factors each of which had Eigen value greater than 1.0. Each factor was composed of a number of variables that had loadings of 0.50 or higher but the last three factors had only one variable indicating that a high level of significance. Table 4 lists the factor in the order of strength as they were extracted. From the table (4) the factors extracted that explain generation Y attitude toward work include: evasive rrelationships, sly conduct, ambition, technology friendliness, self-assertiveness, instant orientation, autonomy, leisure, mentoring affinity, flexibility and irresponsibility. These findings to a great extent are in line with what literature review identified as characteristics and attitudes of generation Y attitude towards work but in addition reduces them to a more comprehensive and exhaustive list.

Evasive relationship was perceived to be the greatest factor affecting generation Y attitude towards work. The factor carried the highest proportion of the total variance explained as 12.175%. Relationship is considered by behavioral scientist as the greatest contributor to employee performance, others being environment, equipments as well as motivation. This generation has a problem of building constructive working relationships especially with the supervisors and other senior managers in organizations leading to low productivity. The Y generation has problem of
relationship not just with employers but also with parents. The employers have to find ways of training this generation on the importance of building firm and healthy relationship for success of businesses and society in general.

The second important factor identified is sly conduct. Generation Y is unwilling to comply with code of conduct in the work place. This factor scored 10.956% of total variance explained. This means that the generation seeks to do things its own way and generally dislikes work. This is a major challenge for employers who want work done and results produced. If this is not addressed the generation might lead to the decline of economies of most countries.

Another equally important factor is ambition that scored 10.669% of total variance explained. This generation is extremely ambitious making it hard to manage and retain in the work place. It is always on the move and may never settle in a job. This might affect growth of companies as the employees may never own or give their best as they are always looking for greener pastures.

Technology friendliness and desire for freedom are other factors affecting generation Y attitude towards work. The factors explained 7.191% and 6.842% of total variance respectively. This generation prefers spending time on social networks and on internet in general often resulting in poor performance as more of their energy is spent on attending to alerts especially from theirmobile devises such as phones, iPod's and so on. It's a fact that

modern information technology has brought about major developments but on the other hand may act as setback to productivity among generation Y and by extension to most employees.

Managers must devise ways of ensuring that employees are not distracted by the modern technologies in the work place. The desire for freedom and avoidance of being under authority is a major concern as it points to a generation that hates accountability. Employers must find ways of availing freedom of expression but not at the expense of performance.

Self-assertiveness and instance orientation are other major factors explaining generation Y attitude toward work. Each of the factors contribute 6.259% and 5.468% respectively of the total variance explained. This generation feels it knows it all and may not be willing to consult. This is a dangerous trend as it may lead to poor performance in businesses.

The findings of this study are in agreement with what was pointed out earlier in literature review that generation Y wants everything happen instantly. This is due to interaction with technology that creates a mentality of instant happening. This generation therefore ignores processes of life and creates conflict with those who think otherwise. Other significant factors include craving for mentoring, flexibility, irresponsibility and desire for leisure as opposed to work. These factors reveals a generation that needs to be understood especially by the employers if they want to make the best out of their potential. Most of the employers however are in generation (X) and baby boomers and must embrace realities of generation Y and give leadership.

This study merely identified the factors behind the Y generation attitude towards work. The employers should seek to understand this generation before declaring it difficult direct and demanding. Generation Y likewise must seek to understand their employers to create a conducive working environment. There is need to offer training forums that facilitate rapport building between Y generation and the older generations especially at work place. It's highly recommended that companies strategically budget for these forums to bridge the gap and tap into the potentials of two major generations at work place today.

The causes of perceived gap between generation Y and other generations in reference to work attitude have not been established authoritatively. More studies should be done towards this end. The study should also be carried on a larger scale to find out if the identified factors in this study hold in other sectors and other geographical regions. It would be of interest to find out how Y generation Y   attitude to work impacts the younger upcoming millennium generation.

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BILATERAL RELATIONS, SECURITY AND MIGRATION: LEBANESE EXPATRIATES IN THE GULF STATES

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Abstract

Background: Lebanon is a source country of migration; it is an exporter of human resources, which goes mainly to the Gulf States. Given that the Gulf States' bilateral relations with Lebanon have been deteriorating since the onset of the Syrian crisis, it is easy to see that there may be serious negative impacts on the wellbeing of the estimated 400,000 Lebanese expats in the Gulf States. In order to see if this is so, we conducted a survey of Lebanese working in the GCC, asking whether the weakening bilateral relations between the GCC and Lebanon was having a negative effect on their wellbeing. This research turns on the hypotheses that a), bilateral relations can be affected by population mobility and, in turn, that population mobility is affected by bilateral relations; b), when bilateral relations deteriorate between home and host countries, it negatively affects immigrants; and c), there is a clear correlation between bilateral relations and migrant wellbeing. Given the scarcity of data on residents and migrants in Lebanon, we explored our hypotheses using convenience sampling through social media, mainly Facebook and LinkedIn. Since Lebanese expatriates working in the Gulf countries are the ones most likely to be affected by the crisis, they were the focus of this research. To test the hypotheses, we used multiple methodologies and harnessed triangulated between literature on migrants, a media review, and our survey questionnaire. Our target population for the survey questionnaire consisted of all Lebanese working in the Gulf States. The questionnaire asked this cohort about their gender, religious affiliation and their origins by province in Lebanon; whether or not they were concerned over the deteriorating relations; whether they had made contingency plans should they be deported; and how they assessed the importance of the GCC to Lebanon. By triangulating with the literature and media review, we used our responses to obtain additional insights and relevant contextual information. In conclusion, we offer three findings:

a) When bilateral relations deteriorate between home and host countries, it negatively affects immigrants;

b) There is a clear correlation between bilateral relations and migrant wellbeing; and

c) Bilateral relations can be affected by population mobility and, in turn, that population mobility is affected by bilateral relations.

Given these findings, we claim that Lebanon urgently needs to devise a policy that protects its long-term interest with the GCC and to formulate a comprehensive national emigration policy. Lebanon is distinguished by the high degree of skilled human capital it generates and exports, accounting for one quarter of its Gross Domestic Product. Given the size and importance of this factor, Lebanon should therefore deal wisely with the situation before it metastasizes.

I.   BACKGROUND

The long-standing special bilateral relations between the Gulf States and Lebanon are undergoing some serious tensions. These tensions are now threatening to deteriorate a relationship that has always been fraternal, strong, and advantageous to both sides. One of the more important dimensions of this relationship has been the contribution of Lebanese expatriates to the development of the GCC countries, which has in turn spurred Lebanon's Gross Domestic Product. [1] These tensions are occurring in the rapidly changing geopolitical *milieu* of the Middle East since the beginning of the 'Arab Spring' and, in particular, since the onset of the Syrian crisis. The tensions intensified as the Syrian conflict divided the region into two camps along Islamic sectarian lines – Syria, Iran and Hezbollah in one camp, and the rest of the Middle Eastern countries with Turkey in the opposite camp (Helfont 2013). The tensions between the GCC and Lebanon mounted as Syria's allies in Lebanon, especially Hezbollah, threw themselves into a supportive role for Assad's regime and Lebanon failed to adhere to its self-declared "disassociation policy", enshrined in the Baabda Declaration, with regard to turmoil in the region, particularly the conflict in Syria.

The Baabda Declaration is an agreement among various Lebanese leaders from the 8th of March[2] and the 14th of March alliances[3] that came about as a result of the National Dialogue called for by President Michel Suleiman on June 11, 2012. The Declaration, which is composed of 17 articles, calls, in Article 12, for Lebanon to be neutral in regard to political polarization and regional and international conflicts, in order to spare the country the negative ramifications of intervention in regional crises. Remaining neutral is seen as a way of protecting Lebanon's supreme interest, national unity and civil peace (Re'asat Al Jamhouriat 2012). However, Article 12 was overtly breached by Hezbollah in the current Syrian crisis, and consequently by other Islamic fundamental groups in the country.

Due to the interference of certain groups in Lebanon in Syria, the Gulf Cooperation Council addressed a letter to President Suleiman that was delivered by the Gulf Corporation Council's Secretary-General Abdel Latif Bin Rashid Al Zayani. In the letter, the GCC expressed its "extreme concerns" over Lebanon's inability to apply the Baabda Declaration and its self avowed disassociation policy to its domestic parties and groups. In order to give further weight to the letter and show solidarity among the GCC countries in this matter, Mr.

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[1] Migration from Lebanon to the oil-producing countries began in the 1950 and increased between 1960 and 1970, when the emerging GCC markets desperately needed unskilled and skilled manpower in various sectors of their economies (Labaki 1992). The wars that ravaged Lebanon after 1975 forced more Lebanese toward migration particularly to the oil-producing countries in the MENA region, where their labor is well paid and the language and cultural mores present no large barriers. Lacking a large educated work force, the GCC have made up for it by hunting down brains and arms all over the world. Lebanon, which has been repeatedly buffeted by political and security turmoil, can supply the GCC with highly qualified and exceedingly adaptable human resources. The expatriate Lebanese, in turn, repatriate much of their earnings to Lebanon. . It is common knowledge that the Lebanese were among the first to have expatriated to the Gulf countries, particularly Kuwait and Saudi Arabia, especially because of their high standard of education (Al-Ostad 1986) and because migration has been part of Lebanon's collective psyche, arising from Lebanon's old merchant traditions. Being educated, adaptable, multi-lingual, and multi-cultural, Lebanese expatriates in the Gulf held key positions and were able from the onset to leverage their human capital into becoming indispensible elements of the economic growth and cultural development of the GCC countries. In his article on the Lebanese to the Gulf and Saudi Arabia, Marwan Maaouia wrote that in terms of job occupation, the Lebanese migrants in the GCC "tended to spread fairly evenly in different sectors…" and were in their majority educated workers "in the high salary bracket" (Maaouia 1992). In her article, Choghig Kasparian reported that a "multinational leader in the field of transportation and computer solutions with a regional office for the Middle East, North Africa, and the Indian subcontinent stated in 2008 "that 35% of the directorship positions in the Gulf countries are occupied by Lebanese" (Kasparian 2008).

[2] The March 8 Alliance is a coalition of various political parties in Lebanon that includes Hezbollah, the Free Patriotic Movement, and the Amal Movement among other political groups.

[3] The March 14 Alliance is a coalition of various political parties in Lebanon that includes the Lebanese Forces, the Kataeb Party and the Mustaqbal Party, among other political groups and individuals.

Al Zayani was accompanied by the ambassadors to Lebanon of the GCC member states, i.e. Saudi Arabia, Kuwait, the UAE, Qatar and Oman.

The GCC's muscular letter was the result of reports that Hezbollah was increasing its military involvement on the side of Assad's regime against the Free Syrian Army in Syria. In addition a criticism by General Michel Aoun of the 8th of March coalition of Bahrain over Bahraini protesters was considered interference in the domestic affairs of the country and was condemned by members of the GCC. Bahraini Minister of Justice, Islamic Affairs and Endowments, Sheikh Khalid bin Ali al-Khalifa went on record as claiming that Hezbollah's "radical ideology" posed a threat to Gulf stability (*Naharnet Newsdesk* 2012). It was reported that the letter indicated that the Council "looks [to Lebanon] to abide by the [disassociation] policy in words and actions in order to prevent placing Lebanon's security and stability at risk or affect the interests of its people and their security" (*The Daily Star* March 05 2013).

At the heart of these tensions is the obsessive concern of the GCC States with security and internal social order. The GCC countries heavily depend on foreign labor, be they unskilled, semi-skilled or highly skilled, to maintain their economic growth and sustain their high standard of living. Because immigrants can and have been used by their countries of origin, by interest groups and by their host countries to advance political and ideological agendas (Casltes and Miller 2009), they are increasingly seen as carriers of potential threats.

Migration and security have become intertwined since 9/11 and its aftermath. Migration issues are now matters of both international political negotiation and national security policies engaging the attention of heads of states and key ministries involved in defense, internal security, and foreign relations (Weiner M. (1993).

Due to the present geopolitical context in the Middle East, the GCC-Lebanon relations are currently influenced mainly by the following concerns: a) national and regional security; b) the Sunni-Shia conflict; c) the Iran-GCC conflict over their domains of influence in the Middle East; and d) the role of Hezbollah in the regional affairs. These concerns are the causes of divergence in the bilateral relations between the GCC, the individual Gulf States and Lebanon. Consequently, security measures and national interests have become the main determinants of the GCC-Lebanon relations, especially when dealing with the issue of 'suspicious' Lebanese expatriates.

In the subsequent section II, we contextualize the strained bilateral relations between the GCC and Lebanon by chronicling the most meaningful and famous incidents from 2009 until 2013. In section III, we review Bilateral Relations and Immigration, and in section IV, we summarize the methods used to collect the opinion of the Lebanese expatriates in the GCC. Section V presents the results of the analysis. Section VI presents our conclusions.

II.   CONTEXTUALIZING THE DETERIORATING BILATERAL RELATIONS BETWEEN THE GCC AND LEBANON

The GCC letter mentioned above came about as the result of a series of events that, in all, display the growing division between Lebanon and the nations of that region. Consider the following most important public incidents between 2009 and 2013 as symptomatic of how affairs have escalated over time:

Between May and October of 2009, 45 Lebanese Shiites had either been denied re-entry visas or had been asked to leave the UAE, for "security" related reasons. However, some of the deportees accused the security services in the UAE of trying to coerce them into spying on their compatriots and on Hezbollah on threat of deportation (*NowLebanon* (2009). Others argued that the deportation was a reaction to the 2008 incidents when on the 7th of May a so-called civil disobedience movement backed by the 8th of March movement led to an attempt by Hezbollah to take over West Beirut (International Crisis Group 2008).

In March 2011, a GCC diplomat serving in London said that the GCC has received from the Bahraini, French and US intelligence information confirming the fact that Hezbollah

and the Revolutionary Guards members were among those participating in the demonstrations taking place in Bahrain and in the eastern region of Saudi Arabia (*Al Muharrer* 2011). The GCC countries were planning to collaboratively expel all Lebanese Shiites from the Gulf in the wake of statements made by Hezbollah's Secretary General Hassan Nasrallah in which he supported the Shiite-led demonstrations in Manama. The GCC condemned Nasrallah's statement, holding the Lebanese government responsible for any consequences arising from these antagonistic statements, especially as regards the fate of the Lebanese Shiite expatriate community in the GCC. These statements led to the perception among the GCC leaders that the Lebanese presence threatens their national security. The GCC diplomat further stated that this condemnation preludes the deportation of thousands of Lebanese Shiites from the Gulf (*Al Muharrer* 2011).

In April 2011, Kuwait followed suit and expelled Lebanese Shiites from its territory. In a public statement Kuwaiti MP Mohammad Barak al-Muttayir called on the security agencies of Kuwait and other Gulf States to blacklist all Lebanese, Syrian, and Iranian nationals expelled from Bahrain. Muttayir told the Kuwaiti newspaper *Al-Seyassah* that the agencies should "make a list of names, photos, and fingerprints of Lebanese, Syrian, and Iranian persons expelled from Bahrain after they were proven to be involved in inciting events in the kingdom." He also went further on to call upon immediate discontinuation of Iranian, Syrian, and Lebanese organizations, and immediate surveillance of these country's businessmen, especially those who hold important positions or are privy to sensitive information (*NowLebanon* 2011).

In April 2011, the Bahrain security forces expelled 16 Lebanese, 14 of them Shiite Muslims, after dismissing them from their posts and revoking their residency permits. Furthermore, Lebanese with GCC residency, which permits their holder the entry into any GCC country, were turned away at the Bahraini customs. The deportations were, however, suspended following high level Lebanese government interference and reassurances from the Lebanese government that it supports the stability of Bahrain and that the Lebanese expatriates in Bahrain will respect the sovereignty of the State (*Zawaya* 2011).

UAE, however, resumed its expulsion of l Lebanese from its territory. A total of 9 Lebanese from a Bekaa Village, Yehmor, were forced to leave within 15 days of the expulsion notice. The deportees have said that the security agents in the UAE have orally asked them to disclose information on Hezbollah, which, they maintain; they don't have (Mohsen 2012).

In May 2012, officials in the UAE said that they perceived Shiites as supporters of Hezbollah. On June 6 and 7, 2012, 1,000 Lebanese were slated for expulsion from the UAE (*The Daily Star* June 06 2012). The President of the Republic of Lebanon Michel Sleiman visited the UAE to discuss the relationship of the two states, saying that he would try to get to the bottom of the reasons behind the decision in order to resolve the matter in cooperation with Emirati officials (*The Daily Star* June 06 2012). In turn, President Michel Sleiman received a pledge from leaders in the UAE to review recent measures to expel Lebanese nationals, according to sources close to Baabda Palace (*The Daily Star* June 07 2012).

The Lebanese in Qatar are anxious that their fate will follow that of the Lebanese in the UAE. The Minister of Foreign Affairs and Emigrants visited Qatar, which created an environment of satisfaction and contentment for the Lebanese Expatriates (*AsSafir* 2012).

In December 2012, the UAE foreign ministry renewed its travel warning to Lebanon, advising its citizens "to avoid nonessential travel to Lebanon" … "as a result of the difficult and sensitive political circumstances in sisterly Lebanon" (Wehbe M. 2013).

In February 2013, 125 Lebanese (majority Shiites) in the United Arab Emirates were informed that they must leave the country within one week or risk having their properties expropriated. However the Lebanese responded that they have not committed any violation

against the law or the Emirati government, and sought recourse in the courts (*AlMonitor* 2013).

In March 2013, there were reports that the GCC was planning to deport 2000 Lebanese over their links with Hezbollah. A diplomat quoted by *Al-Seyassah* newspaper stated that, even people who are affiliated with parties who are allied with Hezbollah would be denied visas, while those working in the GCC will be deemed *persona non grata*. Lists were said to have been drafted that would officially ban certain Lebanese political figures from entering GCC countries due to their hostility and interference in the countries' internal affairs (*Trade Arabia* March 09 2013). There are also talks in the GCC general secretariat to slash the number of flights bound to Lebanon by half. Qatar, the UAE, Bahrain and Kuwait are reportedly lobbying strenuously to have the Arab League convene a meeting at the end of March to freeze Lebanon's membership. According to the same diplomat, the Arab states intend to ask the Lebanese president and prime minister to sack Foreign Minister Adnan Mansour, who voiced pro-Assad stance in a recent ministerial meeting in Cairo. Mansour took it upon himself to demand the reinstatement of the Assad regime in the Arab League in order to help find a political solution to the conflict in the country; his was the single voice that went against the otherwise unanimous decision of the Arab League's members (*The Daily Star* March 05 and 06 2013).

In August 2012, a Kuwaiti national was kidnapped in Lebanon by unknown abductors in the village of Howsh al-Ghanam in the Bekaa valley. Although, the abduction was presumed to be apolitical, Kuwait and several other Gulf states consequently ordered their nationals to leave Lebanon in the face of potential threats (*Al Jazeera* 2012).

However, the key event signaling the deterioration of the relations between the GCC and Lebanon came in a letter addressed to the President of the Republic in March 2013, in which the GCC voiced its "extreme concerns" that Lebanon was failing to abide by its self-avowed disassociation policy toward regional events. The council," the letter stated, "looks to [Lebanon] to abide by the policy in words and actions in order to prevent placing Lebanon's security and stability at risk or affect the interests of its people and their security." President Sleiman, who welcomed the GCC delegation, which consisted of all the GCC ambassadors to Lebanon, reaffirmed his determination to make certain that Lebanese parties abided by the disassociation policy (*The Daily Star* March 05 2013).

Unconfirmed information circulated that the letter mentioned previously insinuated that failing to comply with the self-declared disassociation might jeopardize the GCC-Lebanese relations and as a consequence have implications on the fate of around 400,000 Lebanese expatriate employment and businesses in the various countries of the Gulf.[4]

In May 2013, the Foreign Affairs Ministry of the UAE asked citizens holding diplomatic, special or regular passports not to travel to the Lebanese Republic given the insecure situation in country. They have declared that holders of diplomatic passports have to obtain prior approval to travel and specify the limited period they desire to stay for special cases only. Regular passport holders are required to fill out a form at the airport clarifying that they bear their own responsibility for coming to Lebanon (*The Daily Star* May 12 2013). After two rockets hit Beirut's Shiite southern suburb wounding four people a day after Hezbollah chief Hassan Nasrallah vowed to achieve victory in neighboring Syria, the Kuwaiti government urged its citizens to leave Lebanon as soon as possible due to the unstable situation in the country and advised its nationals not to fly to Lebanon (the Daily Star May 26 2013). Consequently, President Michel Sleiman urged Hezbollah to stop fighting in Syria and abide by the disassociation policy (*Naharnet* May 29 2013).

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[4] In an interview with *As Safir* newspaper in December 2008, Finance Minister Mohammad Chatah stated that about one-third of Lebanon's workforce or about 350,000 people were working in the Gulf. However, it is important to note that the total number of Lebanese immigrants in the Gulf countries is based on estimates. Different sources claim different numbers which ranges between 124 to 600 thousand migrant.

In June 2013, according to GCC chief Abdullatif al-Zayani, who was speaking to reporters at the end of a ministerial meeting in the Saudi city of Jeddah, the Gulf Cooperation Council "decided to look into taking measures against Hezbollah's interests in the member states. On the other hand, Bahraini Minister of State for Foreign Affairs Ghanim al-Buainain said that "nobody could cover up Hezbollah's actions in regional countries." "It is a terrorist organization and this is how Gulf States see it," he added. However, placing Hezbollah on the GCC's terror list was "a technical and legal matter that needs to be further studied" (*Now* June 02 2013). Saudi Arabia's ambassador to Lebanon, Ali Awwad Assiri, was asked if his country would move to expel Lebanese citizens, but said only that the GCC decision "affects those who support Hezbollah" (*Gulf News* June 22 (2013).

July 2013, President Michel Sleiman and Caretaker Prime Minister Najib Mikati visited Qatar to congratulate the accession of the new leader, Qatar Prince Tamim bin Hamad al Thani. During the visit, President Sleiman praised the relations between Lebanon and Qatar. In turn, the new leader hailed the contribution of the Lebanese working in Qatar and promised that they would not be targeted (*The Daily Star* June 30 2013).

The 2009-2013 events have made the issue of migration from Lebanon to the GCC a security issue which triggered the involvement of heads of states, as well as the interference of high level officials (e.g. President Suleiman, the Prime Minister and the Speaker of the Parliament on the Lebanese side and Rulers and ministers in some countries of the GCC, as well as the GCC's Secretary-General), making it a grave regional and bilateral political matter.

The Gulf States have in the past threatened Lebanon by using the Lebanese expatriates or its influence in the Lebanon's economy as a means of pressure. In 2003, for instance, and following New TV satellite station airing a program that was critical of the Kingdom, Saudi Arabia "signaled to Lebanon that the economic conditions of Lebanese expatriates residing in the Kingdom were in jeopardy" (Salloukh 2008). Another incident took place during the US invasion of Iraq, when the Lebanese Foreign Minister "discussed a resolution supportive of Iraq; the GCC States hinted that Beirut might suffer economic consequences" (Salloukh 2008). Anecdotal information indicates that in 1969 some of the Middle Eastern countries threatened to deport the then 45-60,000 Lebanese expatriates from their respective countries to force Lebanon to sign the fateful Cairo Agreement which legitimatized the armed Palestinian presence in Lebanon, allowing them to carry on their struggle against Israel.

The deterioration in regional and bilateral relations between Lebanon and the GCC states has caused uncertainty concerning potential economic sanctions, dread of deportation of Lebanese expatriates, and fright of closing Lebanese businesses. There are, as well, worries of banning Lebanese from entering the job market in the GCC states, fear of GCC investors and governments withdrawing deposits from Lebanese banks. Politically, among Lebanese officials, there is some distress over the possibility of recalling diplomatic representation. In a blow to Lebanon's tourist industry, GCC countries are cautioning their nationals against travel to Lebanon and threatening to suspend flights to and from Beirut from their countries. These threats and possibilities have created a miasma of fear among Lebanese expatriates living and working in the Gulf alike, which has fed back to Lebanese nationals in the homeland itself.

Events such as these and the growing perception by governments of the threat posed by certain immigrants to their security and internal social order have caused frictions in the bilateral relations between host and home countries. Host countries claim that they are forced to counteract threats posed by Lebanese Shiites by introducing policies and measures directed at Lebanon, aimed at the immigrant culprit profile, and even at immigration in general. Such measures include *inter alia* increased restriction of visas for the home country; growing scrutiny of visa applicants; increasing the hold period for visa applications; extensive border checks; intelligence gathering information on admitted immigrants; deportation; and incarceration. Whether these measures are a violation of human rights or not is immaterial

here. The issue, instead, is that these measures affect the admission of individuals seeking to visit, invest, join their families, work, or live in these countries. Whether we like it or not, international migration is now part of the security nexus and will continue to be for the foreseeable future.

The following section discusses three connected topics: The securitization of migration; how news from home affects migrants and residents of the host country and finally how bilateral relations affect immigrants' wellbeing.

II.   BILATERAL RELATIONS AND IMMIGRATION

In the twenty-first century, cross border human migration has become a principal aspect of the international political environment, yet it remains under studied and under-theorized in International Relations. International Relations (RI) have long overlooked international migration and its impact on relations between countries. It was not until migration and security collided with a bang on 9/11 and the subsequent attacks in London and Madrid that International Relations' scholars began paying serious attention to the relationship between human mobility and International Relations.   This led to more attention for a paper that was published a decade prior to 9/11, Myron Weiner 1992 article, "Security, Stability and international Migration". This article has gradually changed the way International Relations scholars viewed migration in bilateral, regional and international politics. In his article, Weiner, a professor of political science at MIT, asserted that migration is no longer the sole concern of ministries of labor or of immigration and that it has become a matter of "high international politics, engaging the attention of heads of states, cabinets, and key ministries involved in defense, internal security, and external relations" (Weiner 1992). Weiner was followed by Mark Miller, who stated in 1998 that the increase in diplomatic activities on international migration related issues, the socio-economic and trade interventions that are instituted to reduce migratory pressures, as well as the enactment of laws and regulations concerning foreigners are all indicators that policy makers are becoming aware of the correlations between human international mobility and security (Miller 1998).

In recent years, the issues around immigration have been clarified through the use of the security framework of the Copenhagen School of security studies, which originated in Barry Buzan's book *People, States and Fear: The National Security Problem in International Relations,* first published in 1983. The Copenhagen School places particular emphasis upon the social aspects of security. Under this framework the literature on the 'securitization of migration' has become quite fashionable. The Copenhagen School framework "argues that instead of examining security as something tangible, scholars should consider the process by which actors construct issues as threats to security, a process they call 'securitization'" (Karyotic and Patrikios 2010).

Conventional discourses in migration studies have constructed immigrants as posing a 'multi-dimensional' threat to the host countries and communities (Lahav and Courtemanche 2012). Some of the 'multi-dimensional' threats that have been identified in migration discourse are economic and cultural (Cohen 2001), political (Tesfaye and Mavisakalyan 2013), national identity (*IJMS* 2005), sovereignty (Demo 2005), and security and terrorism (Ceccorulli 2009; Moens and Collacott 2008).

The perception that migration can host threats to national security and internal social order has made its way into the security agendas and national and foreign policies of not only developed countries, but also those in the developing and emerging economies niche. This has led to measures such as rigid visa policies and the keeping and sharing of databases that provide information on foreign nationals and their political affiliations and activities. These are used not only to keep out the unwanted, but also to enhance the surveillance of those who have been admitted in. Part of the current security strategies of countries that receive

immigrants or foreign labors is to use non-military, economic and political instruments as part of their defense mechanisms.

There are numerous examples of countries dealing with immigrants coming from countries with which the host country has public or secret hostilities or is even engaged in war. The Japanese and the Germans immigrants in the USA, Canada and Australia during World War II are a case in point, but there are many others that demonstrate the transformation from normal immigrant status to "enemy aliens" or 'hostile aliens', which arises simply by the fact that they come from 'enemy' or 'hostile' states (Panayi 1993).

It has been established that poor diplomatic relations discouragingly affect immigrants' wellbeing (Safi 2010). It is argued that "any deterioration in diplomatic relations makes it more difficult for migrants to pursue their homeland interests" (Waldinger and Fitzgerald 2003). Bad diplomatic relations between states noted Waldinger and Fitzgerald (2003) "affect the conditions under which international migrants and their descendants can pursue their 'homeland' interests. In general, a peaceful world encourages states to relax the security/solidarity nexus. International tension, let alone belligerence, provides the motivation to tighten up on those whose loyalties extend abroad" (Armstrong, 1976). The specifics of the relationship between particular sending and receiving states matter even more and "homeland loyalties extending to allies or neutrals can be tolerated easily", however "those that link to less friendly, possibly hostile states are more likely to be suspect" (Waldinger and Fitzgerald 2004).

Furthermore, given the interconnections that arise from global telecommunications, immigrants and residents are no longer so cut off from what is occurring on the national, regional and international levels. This connectivity between sending and receiving countries is therefore "an inherent aspect of the migration phenomenon..." (Waldinger and Fitzgerald 2004).

Immigrants are principally affected by bilateral relations, be they good or bad diplomatic affairs. Individuals, who are closely identified with both countries, i.e. the home and the host countries, can easily be either benefited or disadvantaged by good or bad diplomatic affairs.

Countries such as the members of the Gulf Cooperation Council (GCC) that have intense migratory flow and are geographically located in a volatile political environment tend to use migration as a trump when it comes to their own security and social order.

This situation makes Lebanon particularly vulnerable, as Lebanon depends heavily on the GCC for the employment of its young and brightest, as well as for remittances inflow, tourism receipts, banking and finance, real estate, and direct investment flows. It is estimated that 400,000 Lebanese work in the GCC states remitting up to 58% of the total $8.2 billion Dollars remitted to Lebanon in 2011. As such, the total amount remitted by Lebanese come from the Gulf countries. The UAE was "the main source of inward remittances with 24% of the total in 2009, followed by Saudi Arabia with 13.5%, Qatar with 9.3%, Kuwait with 8.8%" (*In Focus* May 2011*).

In a report published by *Al-Iktissad Wal-Aamal* (Economy and Business Lebanese Magazine) in October-November of 2012, the negative repercussions of strained relations between Lebanon and the Gulf Cooperation Council (GCC) were illustrated by reference to various indices: for instance, there had been an extraordinary drop in tourism from the GCC countries by 45% in 2012 compared to the numbers in 2010, which couldn't be explained by the economic downturn (*The Daily Star* November 28 2012). The report indicated that tourists hailing from Saudi Arabia, the United Arab Emirate and Kuwait represent 35% of the total number of Middle East tourism in Lebanon and about 12% of the total tourists for the year. Saudi tourists alone represent one fourth of total tourist spending in Lebanon. As for the Foreign Direct Investment (FDI) in Lebanon, 75-80% of it comes from nationals of the GCC countries. In addition, the value of Lebanese exports to the Gulf countries accounts for an

average of 20% of the total export. According to the Center for Economic Studies at the Chamber of Commerce of Beirut and Mount Lebanon, estimated cumulative investment of the GCC in Lebanon for the period between 1985 and 2009 comes to $11.3 billion dollars. The largest share of these investments originating from Saudi Arabia ($4.8 billion dollars), followed by the UAE ($2.9 billion), Kuwait ($2.8 billion) (Abi Ghanem 2012).

As we have seen "power differentials between sending and receiving states count" (Waldinger and Fitzgerald 2004). This research aimed at answering some of the questions pertaining to the concerns of the Lebanese in the GCC; their sense of the importance of the GCC in relation to the Lebanese economy; their stance in regard to the ramifications of the strained relations with the GCC; their plans should the worst happen; and their suggestions as to how the Lebanese government should respond to the GCC countries. These questions are answered in a non-comprehensive survey that targeted Lebanese expatriates working in Saudi Arabia, Kuwait, Oman, Bahrain, Qatar and the UAE. This research evaluates the hypotheses that a) when bilateral relations deteriorate between home and host countries, it negatively affects immigrants; b) there is a clear correlation between bilateral relations and migrant wellbeing; and c) bilateral relations can be affected by population mobility and, in turn, that population mobility is affected by bilateral relations.

IV.   METHODS

Given the scarcity of data on residents and migrants from Lebanon, we explored the research hypothesis using convenience sampling through social media mainly Facebook and LinkedIn. Since Lebanese expatriates working in the Gulf countries are the most affected by the crisis, it was only natural that they be the focus of this research. To test the hypotheses, we used multiple methodologies and triangulated our survey responses with literature and media reviews. The survey was undertaken between March and April of 2013 at the height of the crisis. The assessment was weighed via a questionnaire that was sent through emails to more than 1300 Lebanese working in the Gulf countries. The media review covered related events from 2009 until August 2013. The primary data sources were the database of the Lebanese Emigration Research Center, Facebook and LinkedIn. Of the 1300 questionnaires emailed, 608 filled out the questionnaire and 457 were deemed usable, giving a high response rate of 35%. The quantitative data reported in this research were collected from Lebanese working in the Gulf (N= 457), who were surveyed on the topic. Survey Monkey was used as a web-based survey to gather quick insights into the issue. Individuals interested in expressing their opinion filled out the survey anonymously.

In the section below, we present the findings of descriptive statistical analyses to address the main hypotheses.

V.   RESULTS AND DESCRIPTIVE ANALYSIS

Status in the GCC

In regard to their status in the GCC, 81% of the respondents indicated that they were currently working in the GCC, 10% owning a business in the GCC and 9% looking for a job in the GCC.

Lebanon's Dependency on the GCC

The responses indicated that 74% of the respondents believe that Lebanon is very dependent on the GCC for employment, 67% said that it is very dependent in terms of tourism, 57% in terms of deposits and investments, 40% in terms of development aid relief (40%), while 42% and 39% of the respondents believe that Lebanon is dependent on the GCC for export and real estate respectively.

Table 3: Respondents' response on the level of Lebanon's economic dependency on the GCC Answered: 450 Skipped: 7					
	Very Dependent	**Dependent**	**Somewhat Dependent**	**Not Dependent**	**Total Respondents**
Tourism	67.12% 294	23.06% 101	7.31% 32	2.51% 11	438
Relief	39.34% 168	32.32% 138	24.36% 104	4.45% 19	427
Real Estate	36.70% 160	38.53% 168	19.72% 86	5.28% 23	436
Exports	27.74% 119	41.26% 177	26.34% 113	5.13% 22	429
Employment	73.38% 328	18.57% 83	6.04% 27	2.68% 12	447
Development Aid	41.49% 178	35.90% 154	19.58% 84	3.50% 15	429
Deposits/Investments	55.61% 243	31.58% 138	11.90% 52	1.83% 8	437

Primary Concerns over the Deteriorating Relationship

In Table 1, the respondents were asked to identify what concerned them most regarding the deteriorated relationship between the GCC and Lebanon. Deporting Lebanese working in the GCC was the main concern (87%) followed by fear of sanctioning Lebanese from entering the GCC (82%), worries about closing Lebanese businesses in the GCC (57%), nervousness about pulling out deposits from Lebanese banks (52%)and trepidation about banning GCC citizens from visiting Lebanon (50%).

Table 1: Respondents' primary concerns with regard to the GCC-Lebanon relations? Answered: 445 Skipped: 12 Numbers are rounded to the nearest percent		
Answer Choices	**# of Responses**	**% of Responses**
Deporting Lebanese working in the GCC	388	87%
Banning Lebanese from entering the GCC	366	82%
Closing Lebanese businesses in the GCC	255	57%
Pulling out deposits from Lebanese banks	229	52%
Banning GCC citizens visits to Lebanon	223	50%
Banning GCC imports from Lebanon	137	31%
Suspending flights to and from Lebanon	169	38%
Suspending development aid to Lebanon	167	38%
Calling back the GCC ambassadors	69	16%

Return or Re-migrate

Of the 446 who answered this question, the majority or 37% did not know what choice to make at the time of the survey, 22% said that they planned to return to Lebanon, 22% indicated that they planned to go to another country in which they hold either a citizenship or a permanent residency and 20% will go to another country for which they have an entry visa. The data indicates that of the 446 respondents only 98 persons will return to Lebanon.

Table 2: Respondents' destination in worst case scenario Answered: 446 Skipped: 11		
Answer Choices	**# of Responses**	**% of Responses**
Return to Lebanon	100	22%
Go to another country from which I hold a citizenship or permanent residency	96	22%
Go to another country I have a valid visa for	87	19%
Don't know what to do	163	37%

There have been many waves of Lebanese migration to the Gulf countries, of which three occurred during important conjunctures in the history of both countries. The first wave took place prior to the 1975 war, during the height of the oil boom in Kuwait and Saudi Arabia; the second wave was the one that flowed in during the Civil War years; and the third was that which was ushered in after the end of the 1975 war and has continues to the present. This was due to economic growth and development projects in the GCC and the continued insecurity and economic downturn in Lebanon (Hourani 2010, 2011).

Choosing a destination for re-migration is not a spontaneous decision; it is done according to the person's careful consideration and prioritization. Our results showed various factors that go into making this choice -- 36% would choose a destination that has better future for their families; 32% would select a place with better employment opportunities; 17% with better standard of living and 14% with better security. Some Lebanese emigrants use the Gulf countries as a transit point or a stepping stone to permanent migration to other countries that provides dual citizenship such as Canada, the USA, Australia and some of the countries in Europe.

Re-migration/secondary migration is a tactic used by migrants to move from their first migration destination to another. In the case of the Lebanese in the Gulf States and prior to the GCC-Lebanon deteriorating relations, two main push elements make them re-migrate –firstly, citizenship is difficult to obtain in the Gulf States, and secondly, going back to Lebanon is problematic, due to the protracted insecurity and instability there. Having acquired good educations in Lebanon and professional skills and experience in the Gulf, they have the kind of qualifications that are sought after in countries where citizenship acquisition is permissible.

The economic situation in the home country is a push factor for migration, as well as a deterrent to return. Participants in the survey were asked how they would rate the current economic situation in Lebanon. 47% rated it as very poor, 42% rated as poor, 10% rated it as average and less than 1% rated it very good.

Impact of Any Types of GCC Sanctions on Lebanon

In order to gauge the perception of figures familiar with both Lebanon and the GCC economies, we asked our cohort to judge what the impact of GCC sanctions on Lebanon might be: negligible, weak, strong, very strong or devastating.

Table 4: Respondents' views on the level of impact of any type of sanctions by the GCC on Lebanon Answered: 457 Skipped: 0	
Answer Choices	**Responses**
Negligible	1.75% 8
Weak	2.63% 12
Strong	20.79% 95
Very Strong	33.92% 155
Devastating	40.92% 187
Total	457

The majority of the respondents (41%) indicated that such sanctions will be devastating, followed by 34% who said that it will be very strong, 21% said it will be strong and only 3% and 2% indicated that it will be weak or negligible respectively.

Responsibility for the Crisis between the GCC and Lebanon

In terms of blame, the majority of the respondents specified that they blame the 8th of March coalition first (79%), the Lebanese government second (76%), Syria and Iran respectively third (39%) and the 14th of March coalition fifth (34%).

Proposed Interventions

In regard to suggestions to ameliorate the situation, 71% of the respondents indicated that the Lebanese government should reconcile with the GCC, 44% advised to conform to the disassociation policy.

General Characteristics of Respondents

The data showed that of the 457 respondents 79% male and 18% female. In terms of religious affiliation, of the 396 who answered this questions 46% were Christians and 41% were Muslims (we did not ask whether they self-defined as Sunni or Shiite). In regard to the geographical origin of the respondents: 36% were from Mount Lebanon, 28% were from Beirut, 15% from the North, 14% from the South and 7% from the Bekaa.

VI.   DISCUSSION AND CONCLUSION

The research has a number of limitations; the first limitation concerns the lack of a national minimum database on Lebanese expatriates. The second limitation is the small size of the sample and the short timeframe set for conducting the survey, which eliminated potential respondents who might have been busy or traveling. The third limitation is the fact that by not being able to administer the questionnaire face-to-face, we were deprived of the opportunity of probing the interviewees for further information.

Lack of compliance with the self-imposed disassociation policy compounded by the GCC's heightened perception of security threats is shaking the confidence of Lebanese expatriates in the continuing viability of working in the Gulf. Lebanese governments and policy makers should take into consideration the impact of bilateral relations on the wellbeing of the Lebanese emigrants or expatriates living and/or working abroad.

Despite the above mentioned limitations, the research has a number of strengths. First, it assessed the responses of some of the Lebanese expatriates in regard to the topic at the height of the crisis, which allows them the privilege to share their candid feedback. Second, complete anonymity freed them from any self-censorship they may have felt in regard to the questions asked. Third, it showed how important the GCC threats are on the well-being of the Lebanese expatriates. Finally, since there is very little if any published literature on the impact of bilateral relations on the immigrants in the Gulf in general and on the Lebanese in particular, this research provides a groundbreaking glimpse into this phenomenon and its implications.

Based on the above findings, this study suggests that when relations deteriorate between home and host countries, it negatively affects immigrants. Hence, there is a clear correlation between bilateral relations between home and host countries and migrant welfare and safety. The deteriorating relationships between the GCC and Lebanon and the Gulf individual countries and Lebanon are affecting the wellbeing of Lebanese working in the GCC and alternatively the livelihood of thousands of Lebanese homeland residents who count on the remittances from the Lebanese expatriates in the GCC countries or the Gulf market for the employment of Lebanese and the Gulf countries' economic and financial role in the Lebanese economy.

The policies of the countries of origin remain significant for the immigrants' wellbeing in the host countries. Deteriorating bilateral relations between home and host countries has considerable effect on the immigrants. Every public event or incident that impacts the countries of migration has the potential to affect the wellbeing of the immigrants, an effect that is now magnified through the real-time environment of the internet and telecommunications. Furthermore, increasingly national politics and economies are heavily intertwined with security, making migration into a fraught political issue. Countries are therefore compelled to balance security with their needs for foreign labor (Givens 2010).; thus "good relationships between home and host countries generate significant well-being externalities for those who live abroad" (Becchetti, Clark and Ricca 2011).

The findings of this research support the hypotheses with which we started out: the deterioration of bilateral relations between home and host countries: a) negatively affects immigrants; b) gives us a clear correlation between bilateral relations and migrant wellbeing; and c) is effected by population mobility and vice versa.

Despite the fact that it is unlikely that the GCC would engage in the mass deportation of Lebanese nationals because of the detrimental effects this action will have on various sectors of their economies, Lebanon should pay attention to these bilateral relations, if for no other reason than it has hundreds of thousands of nationals working in the region. Hence, there is an urgent necessity for Lebanon to wisely adopt a policy that protects its long-term interest with the GCC and to formulate a comprehensive national emigration policy, especially as the Lebanese themselves are one of Lebanon's main natural resources and their earnings and remittances the source of one quarter of its Gross Domestic Product. Lebanon should therefore deal wisely with the situation before it metastasizes.

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